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and The European Union

**Report on Study Tour to  
Mexico, Colombia, Brazil  
and the US  
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**Programme to Support Pro-Poor Policy Development (PSPPD)**

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## Glossary

ASF	Auditoreo Superior Federal – Supreme Federal Auditor
CEPAL	Economic Commission for Latin America
CONEVAL	National Council for the Evaluation of Social Policy
DBE	Department of Basic Education
DEPP	Public Policy Evaluation Directorate, DNP
DFID	Department for International Development
DNP	Department of National Planning
DPME	Department of Performance M&E
DSD	Department of Social Development
ECD	Early childhood development
GAO	Government Accountability Office
GCIS	Government Communication and Information System
GIS	Geographical information service
GPRA	Government Performance and Results Act
GWMES	Government-wide M&E system
IABD	Inter-American Development Bank
IEG	Independent Evaluation Group
IFR	Integrated Fiscal Reform Law
MoF	Ministry of Finance
MTSF	Medium-term Strategic Framework
NDP	national development plan
OECD	Organisation of Economic Cooperation and Development
OMB	Office of Management and Budget
OPSC	Office of the Public Service Commission
PAN	National Action Party
PART	Program Assessment Rating Tool
PBR	Results-based management
POAI	Annual Operational Investment Plans
PRAP	Public Administration Renewal Program
PRD	Party of the Democratic Revolution
PRI	Institutional Revolutionary Party
PSPPD	Programme to Support Pro-Poor Policy Development
RBM	Results-based management
ROP	Rules of operation
SED	Sistema de Evaluacion de Disempeno – Performance evaluation system
SEDESOL	Ministry of Social Development
SEP	Secretaria de Educacion Public – Ministry of Public Education
SFP	Secretaria de FoncionesPublicas – Ministry of Public Services
SHCP	Secretaria de Hacienda y CreditoPublico – Ministry of Finance
SISDEVAL	System for evaluation of public policies and programmes
SISMEG	System for Monitoring of the National Development Plan
TORs	Terms of reference
UNAM	National University of Mexico

## Policy summary

### Abstract

The Deputy Minister and staff of the Department of Performance M&E and other departments visited Mexico, Colombia and the US to look at their PM&E, and more specifically evaluation systems. The Mexican and Colombian systems are impressive, particularly the integration of planning, budget and M&E. They also have very well developed evaluation systems. A wide range of lessons have been drawn from the visit, and support sought from the World Bank to implement these. DPME needs to move quickly to implement these lessons and take forward its evaluation capacity.

### Policy implications

#### An integrated Planning, Budgeting and PM&E system

- Both Mexico and Colombia highlight the significance of an **integrated approach to planning, budgeting and M&E**. South Africa needs to try and integrate these systems. A specific gap is around planning and the need to develop the MTSF into a **five year development plan which also mentions the outcomes at a high level**, and to formalise the outcomes plans and other sector plans and plans for cross-cutting programmes ;
- Core to this integration is an effective **programme budget structure** and plans based on a good logic model (logical framework), standardised indicators, and rules of operation. This will require a formal review of the strategic planning guidelines;
- South Africa needs **enabling legislation** and regulatory frameworks for this integrated planning, budgeting and performance M&E. DPME also needs a legal basis for its work.

#### Roles and coordination of key players at national level

- It is important to work with **Parliamentary portfolio committees** as key oversight structures in government.
- DPME needs to have the technical skills to add value around evaluation, and the budget to help influence (eg could have a budget for evaluations to co-fund with departments).

#### The evaluation system

- To ensure the credibility of evaluation, one needs to show the **independence** of evaluation. We can ensure independence of evaluators rather than the structure, and use an independent peer review mechanism for evaluators, and embed external evaluation in an Act;
- DPME needs to develop a **suite of evaluations**, standardised systems, and an annual or rolling multi-year evaluation plan;
- There needs to be a **budget allocation** for evaluation in the range of 2-5% of programme budgets;
- DPME needs **dedicated staff and a budget to support capacity development** around M&E in government;
- A central capacity is needed in DPME to **support evaluations** in government, both developing policy, systems, and supporting on methodology and quality assurance. A chief directorate on evaluation is suggested.
- Use of **standardised guidelines** will help to overcome limited capacity;
- **Improvement plans** should be developed based on the evaluations and their implementation closely monitored. DPME must track progress on implementing recommendations from evaluations. This will ensure that evaluations are used for performance improvement.

#### Taking this forward

- DPME should use World Bank and other support, including from partner countries, to help develop the integrated planning, budget and M&E system;
- DPME should move forward quickly to establish an evaluation unit, supported by a cross-departmental working group, which should define the national evaluation framework including types of evaluations, develop standard systems, an annual evaluation plan, oversee and support evaluations in government;
- A significant communications effort is required to build wider awareness and support for the process, both within government and with the wider public.

# Report on Study Tour to Mexico, Colombia and the US

## Executive summary

### 1 Introduction

The Department of Performance M&E (DPME) in the Presidency organised a study tour to Mexico, Colombia and the US between 25 June and 12 July 2011, supported by the Programme to Support Pro-Poor Policy Development (PSPPD), a partnership between the Presidency and the EU. The main purpose was to learn from these countries' experience on evaluation, and draw lessons for South Africa. The team included the Deputy Minister and Director-General of DPME, as well as staff from other departments.

### 2 Mexico

2.1 Mexico is a federal state with 32 states, and 2438 municipalities. It has a population of 112 million. Being a federal system, states have considerable autonomy.

2.2 The PM&E system of Mexico has evolved over more than thirty years, with significant reforms and institutionalisation in the past ten years. A major milestone was the impact evaluation of the PROGRESA social grant programme in 1997, which led to the extension of the programme, but also a demand for the broadening of evaluation across government. In 2004 an independent evaluation organisation was created, CONEVAL, which has led on evaluation in the social sector but also provided technical leadership in the development of evaluation in Mexico more widely.

Article 21 of the Constitution sets the tone for an integrated results-based management system, as it specifies the elements of the national development plan (NDP) like objectives, strategies, priorities, resources, instruments and actors responsible for execution, policy guidelines, programmes and coordination mechanisms among various state and non-state actors. This is the responsibility of the Presidency. The overall system integrates planning, budgeting and monitoring, with the national development plan, programme budgets based on logframes, a performance evaluation system, and evaluation of policies and programmes.

Evaluation of federal programmes has become a key instrument to ensure accountability and transparency of the system, and these are conducted by the Ministry of Finance (SHCP), CONEVAL, the Ministry of the Public Service (SFP), the Supreme Audit Office (ASF), line Ministries and sub-national administrations. The System for Performance Evaluation (SED) is the responsibility of SHCP which is the main driver of the government-wide M&E system of Mexico. The SED has two main components. Firstly, **budgetary programmes** are monitored via a set of 400 performance indicators at the level of outputs and outcomes. Further, **programme and policy evaluations** focus on design, process and impact evaluations. Secondly, the emerging Management Improvement Programme run by the Ministry of Public Service (SFP) aims to evaluate management practices and efficiency and effectiveness of institutions in delivering public goods and services. The system is coordinated through an informal working group.

2.3 The system is based on independent evaluations, with CONEVAL in particular playing a technical support role. There are 8 main types of evaluations used, ranging from design, process to impact evaluations. Standard systems have been developed for these. A major element in the success of this has been the development of logic models for all programmes, which enabled standardisation of objectives, indicators etc. In order to ensure follow-up a structured process is undertaken to analyse the recommendations of evaluations and prioritise them for implementation. Evaluation findings are also disseminated and published in the ministries websites.

2.4 The Ministry of Social Development (SEDESOL) is responsible for significant part of the effort against poverty. The main lines of work include:

- Development of Basic Capabilities;
- Social Safety;
- Linking Economic and Social Policy;
- Development and Improvement of Physical and Social Environment.

A key programme has been Oportunidades which aims to contribute to breaking the intergenerational cycle of poverty, promoting development of capacities for education, health and nutrition. The short-term objective is to alleviate income poverty. It starts with nutritional supplements and cash transfers and when children go to school, they receive scholarships. Some high quality evaluations have been conducted.

### 3 Colombia

3.1 Colombia is a federal state with a national government, 32 regional governments (departamentos), and 1119 local governments (municipios). National government has 13 Ministries and 6 administrative departments like the Department of National Planning (DNP).

3.2 Planning has a long tradition in Colombia. Since 1949 but formally since the 1991 revision to the constitution, every new administration (both at the national and subnational level) is required to prepare a development plan, discuss it with civil society, and present it to the legislature for approval. The plan includes policy objectives for the four-year constitutional term and an investment plan for achieving the objectives. Budgeting and planning are integrated during the formulation process. Colombia's National Management and Results' Monitoring and Evaluation (M&E) System (SINERGIA) was founded in 1994 and is managed by the Government's National Planning Department (DNP), which is also responsible for the capital budget. Other key roles are played by the Presidency and Ministry of Finance (MoF). The President periodically meets with ministers and directors to carry out high-level oversight of their performance, based on information from SINERGIA and the ministries, among other sources. The Ministry of Finance is responsible for the recurrent budget.

3.3 SINERGIA says that "Monitoring determines what to evaluate and evaluation emphasizes what to monitor". Colombia also has a standard set of evaluations and an annual evaluation plan. Whilst Departments outsource evaluations to external firms to ensure that they are credible, the design of the evaluations and the terms of reference are undertaken by Departments with the assistance of the DNP, including sometimes the co-financing of evaluations. The country has embarked on a big drive on capacity building and reform of the public institutions. Based on the results of the evaluations, ministries/entities are requested to prepare an improvement plan which is monitored by the DNP. In order to ensure widespread awareness of the findings, ministries prepare a dissemination process for wider public availability (called socialisation). This includes publication of results in Departmental websites, sharing them with key stakeholders and media coverage.

### 4 US Government roles in PM&E

4.1 The US has a **federal** system with 50 states. Each state has its own written constitution, government and code of laws. The President appoints the heads of the 15 departments but Congress has to approve the budget.

4.2 The **Office for Management and Budget** (OMB) in the President's Office oversees the budget for individual agencies and programmes, including both capital and recurrent budgets, and is similar to a Finance Ministry. The **Treasury** deals with big fiscal policy questions, and manages federal finances. The **Government Accountability Office** (GAO) is an arm of Congress and responsible for auditing the federal government. Only 15% of their work is financial audit, with most of their work performance evaluation. OMB has a staff of 200 analysts, while GAO has a staff of 14500. Both do their work in house. Evaluations started in the 1960s after the programmes launched by President Johnson to bring people out of poverty. Prior to 1993 the US had little law in relation to programme planning and budget, and performance assessment. The Government Performance and Results Act of 1993 (GPRA) required strategic plans and annual performance reports, as well as indicators. However this became a compliance exercise and these plans were not closely tied to programmes. After the GPRA departments didn't do anything for 5 years. In July of 2002, the Office of Management and Budget (OMB) announced development of a tool for formally evaluating the effectiveness of federal programs, called the Program Assessment Rating Tool (PART). At the end of 2010 Congress passed the Government Performance and Results Modernization Act. The Act is very specific about a range of issues on performance management.

A major weakness is that there is no requirement for a government-wide plan. Programmes are not necessarily well defined, as to get a programme approved many constituents and goals have to be satisfied, and so programmes are often not very specific. In terms of monitoring much data is collected but not used effectively, eg the Education Department collects data on well over a thousand indicators, much of which is not used.

4.3 While PART was implemented it has now stopped. In terms of evaluation, GAO has a legal mandate to look at all programmes over a 3 year period but a limited mandate around overlap and duplication. They produce around 1000 reports a year. A lot of thought and effort has been put in to crafting recommendations that are practical and affordable.

## 5 World Bank roles

5.1 3 major components are involved in M&E: the Independent Evaluation Group, whose main role is evaluation of World Bank Programmes, but also has a role in documenting and building capacity of World Bank partners around M&E; sectoral departments focusing on M&E, notably PREM and also those dealing with Public Sector Reform; the M&E function carried out by the corporate section of Africa Region, as part of the Development Effectiveness Group. There was a discussion around lessons from different M&E experience, and possibly support the World Bank could provide South Africa.

## 6 Lessons emerging for South Africa

### ***An integrated Planning, Budgeting and PM&E system***

1. Both Mexico and Colombia highlight the significance of an **integrated approach to planning, budgeting and M&E**;
2. A specific gap in SA is around planning and the need to formalise and set minimum quality standards for the long term plan and vision, national and provincial development plans linked to the electoral cycle, and plans for outcomes, sectors and cross-cutting programmes;
3. Core to this integration is an effective **programme budget structure** and plans based on a good logic model (logical framework), standardised indicators, and rules of operation. This will require a formal review of the strategic planning guidelines;
4. South Africa needs enabling legislation and regulatory frameworks for this integrated planning, budgeting and performance monitoring and evaluation. DPME also needs a legal basis for its work.

### ***Roles and coordination of key players at national level in the Planning, Budgeting and PM&E system***

5. Both Mexico and Colombia illustrate the strong political role of the Presidency and politicians in the institutionalisation of M&E. DPME needs a hands-on political champion;
6. It is important to work with the Parliamentary portfolio committees as key oversight structures in government. We can share the experience from Mexico, Colombia and the US with Parliament and also the ANC M&E structure being developed;
7. It is essential to have a central department (as DNP in Colombia) acting as a **champion** for M&E. In South Africa, DPME is performing that role. As well as having a legal mandate, DPME needs to be respected. It has respect around the outcomes, but this needs to be developed more broadly on the government-wide M&E system (GWM&ES). DPME needs to be seen to have the technical skills to add value, and the budget to help influence (eg could be a budget for evaluations to co-fund with departments).

### ***Monitoring***

8. DPME has done a lot of work on monitoring around the outcomes. The challenge we saw particularly in Mexico, as in SA, is of **too many indicators** – one solution is to do an overall report for the outcomes every quarter using a limited range of indicators (a “strategic indicator set” as it is known in Colombia);



### **The evaluation system**

9. To ensure the **credibility of evaluation**, one needs to show the independence of evaluation. In Mexico this is ensured by the independence of CONEVAL. In SA we can ensure independence of evaluators rather than the structure, and use an independent peer review mechanism for evaluators, and embed external evaluation in an Act;
10. Evaluation is not just a technical challenge, but it is important that key stakeholders own the results and take them on board. SINERGIA went through a technical phase where it lost the trust of stakeholders. It is important that DPME plays a **strong facilitator role**, so that departments trust it, and use the results to improve performance, not just for compliance.
11. It is also important that the 'socialisation' of results is done to communicate results to different audiences so decision-makers participate and the results are used. Colombia is very conscious around communications – we need to enhance this in South Africa and ensure results are accessible;
12. Evaluation is central in Mexico and Colombia – and they use **several types of evaluation** – we need to develop a similar suite of evaluations including methods we are developing already eg the Management Performance Assessment Tool.

### **Managing evaluation (planning, funding, implementation)**

13. We have seen the benefits of **standardised systems**;
14. There needs to be a requirement that all major or important programmes are evaluated on a regular basis (eg 3-5 years), which can be used to develop an **annual or rolling multi-year evaluation plan**;
15. We need to adopt the principle of a **budget allocation** for evaluation – probably in the range of 2-5% of programme budgets;
16. Mexico has a useful schedule of evaluations, showing what happens during a programme lifecycle. A similar schedule should be used in SA;

### **The capacity in government to manage or undertake professional evaluations**

17. Expanding the application of evaluation will require greatly increased capacity, both within government, and for independent evaluators. DPME needs dedicated staff, and a budget to support capacity development around M&E in government;
18. Both SINERGIA and CONEVAL provide central support for M&E. A central capacity is needed in DPME to support evaluations in government, both developing policy, systems, and supporting on methodology and quality assurance. A chief directorate on evaluation is suggested.
19. Use of **standardised guidelines** will help to overcome limited capacity;
20. Both Mexico and Colombia have used **donor support** effectively to enhance the systems and capacity. DPME should use World Bank and other support, including from partner countries, to help develop our systems;

### **Ensuring follow-up of the lessons of M&E and specifically evaluations**

21. Improvement plans should be developed and their implementation closely monitored. DPME must track progress on implementing recommendations from evaluations. This will ensure that evaluations are used for performance improvement.

### **Communications implications**

22. Improving the alignment between planning, budgeting, monitoring and evaluation, implies a strong working relationship between government, Parliament, and the public, to enable the former to account at all times, and the latter to play a meaningful role in monitoring the work of government.
23. There is a need to develop a communications and stakeholder strategy for this programme promoting the overall programme within government in all three spheres – to ensure political buy-in and will as well as proper application and implementation

### **Next steps**

24. DPME takes forward with transversal departments discussions on an integrated planning, budget and M&E system.
25. Donor support including from the World Bank is sought to provide technical assistance in developing an effective and quality integrated system.
26. DPME moves forward quickly to establish an evaluation unit, with a cross-departmental working group, which should define the national evaluation framework including types of evaluations, standard systems, annual evaluation plan.

# 1 Introduction

## 1.1 Background

The Department of Performance M&E (DPME) in the Presidency is responsible for South Africa's government-wide M&E system. In general much effort has gone into developing monitoring systems, but much less into evaluation. Evaluation is not systematized in government, and efforts are underway to develop a national system and DPME is currently developing a national evaluation framework.

Both Mexico and Colombia have national M&E systems which are of interest. In Mexico's case the National Council of Evaluation - CONEVAL - provides an innovative arrangement that offers an important degree of independence and ensures technical capacity and standards to the conduct of evaluation work. In Colombia's case, the SINERGIA system, built over the past 20 years, has achieved an advanced institutionalization level which is notable for the way it has combined high-ranking, wide-ranging, formal mechanisms (e.g., constitutional mandate and laws covering the whole of public administration) with the development of informal practices in key areas of the public sector (e.g., M&E activity in planning offices, programme management units, and managerial controls in the President's Office).

A 12 day study tour was held from 25 June to 12 July to look at the experience of Mexico, Colombia and the US, and its relevance for South Africa. CONEVAL were the hosts in Mexico, the Department of National Planning (DNP) which runs SINERGIA hosted the team in Colombia, and the World Bank's Independent Evaluation Group (IEG) hosted the team in Washington. The team was led by Ms Dina Pule, the Deputy Minister of Performance M&E in the Presidency and Dr Sean Phillips, the Director General of DPME. The other participants included 7 senior managers from DPME, PSPPD, the Department of Basic Education (DBE), the Department of Social Development (DSD), and the Office of the Public Service Commission (OPSC), all of whom are very involved in evaluation work, plus the Government Communication and Information System (GCIS). A smaller group travelled to Washington to meet the Independent Evaluation Group, other World Bank programmes, and some US Government organisations.

The study tour was funded by the Programme for Support to Pro-Poor Policy Development (PSPPD), a partnership between the Presidency, Republic of South Africa, and the European Union. The PSPPD aims to improve evidence-based policy making in South Africa. One component is on support to the Government's M&E system.

## 1.2 Purpose and approach

The **purpose** of the study tour was to develop practical lessons that South Africa could apply of how to implement national systems of evaluation.

Some of the learning questions include:

- How does the overall PM&E system operate – and what are its successes and failures and why;
- What roles do different organisations play, how is this coordinated, how have the M&E institutional arrangements evolved, why and what are the lessons.;
- What types of evaluations are used – and what are their experiences of applying these (process, impact, cost-benefit/value-for-money...);
- How is evaluation managed – planned, funded, implemented – and the lessons from this.

- What capacity is there in government to manage or undertake evaluations and what is outsourced and how is this managed;
- How is the use of evaluation across government managed, and the lessons shared;
- What are the incentive systems for ensuring that the lessons of M&E and specifically evaluations are implemented;
- Success factors, main obstacles and lessons learned in the path towards institutionalization.

The main elements of the study tour included, in both Mexico and Colombia:

- Meeting with central government around the overall approach to performance monitoring and evaluation;
- Meeting with centre of government departments intimately involved in applying the M&E system (eg Ministry of Finance etc), and particularly around evaluation;
- Meeting with national government departments to understand the application of M&E and particularly evaluation, and how the lessons from evaluation are applied;
- Potentially meeting with regional government to understand how this is applied at regional/local government level.

In the US meetings were held with two key agencies in Government, the Office of Management and Budget in the President's Office, and the Government Accountability Office, similar to SA's Auditor General (except that the majority of its work is performance audits), which reports to Congress. In addition there were meetings with different branches of the World Bank dealing with M&E.

The detailed programme is in Annex 1, Annex 2 has the list of participants in the study tour, Annex 3 the people met. Annex 4 the summary of the evaluation, and Annex 5 key documents consulted.

### 1.3 Some comparisons between the 3 countries

Table 1 shows some comparisons between Mexico and Colombia with South Africa (from the Economist's Pocket World in Figures, 2011). These show some similarities although overall Mexico is much wealthier.

**Table 1: Comparisons between South Africa, Mexico and Colombia (World Bank unless stated)**

Factor	South Africa	Mexico	Colombia
Population (million)	48.8	107.8	46.7
GDP/capita (US\$, 2009)	5,786	8,143	5,126
Life expectancy at birth (female, 2009)	53	78	77
% with improved water, rural (2008)	78	87	73
Literacy rate (% of age 15+, 2009)	87% (2006)	93%	93%
Human Development Index (Economist)	68.3	85.4	80.7
% of GDP from agriculture (2009)	3	4	7
% of GDP from industry (2009)	31	35	34
- of which % from manufacturing (Economist)	19	19	16

<b>Factor</b>	<b>South Africa</b>	<b>Mexico</b>	<b>Colombia</b>
Unemployment male % of labour force	22	5.4 <sup>1</sup>	9.3
Gini coefficient (CIA <sup>2</sup> )	0.65 (2005)	0.48 (2008)	0.585 (2009)
% of income of highest 10%			45% (2008)
Poverty level, % of pop(\$1.25/day)	17.4 (2006)	3.4 (2008)	16 (2006)
Poverty level (\$2/day)	35.7 (2006)	8.1 (2008)	27.9 (2006)
Government system	Semi-federal	Federal	Federal

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<sup>1</sup> However underemployment may be as high as 25% ([www.cia.gov/library/publications/the-world-factbook/geos/mx.html](http://www.cia.gov/library/publications/the-world-factbook/geos/mx.html))

<sup>2</sup>[www.cia.gov/library/publications/the-world-factbook/rankorder/2172rank.html?countryName=Colombia&countryCode=co&regionCode=soa&rank=8#co](http://www.cia.gov/library/publications/the-world-factbook/rankorder/2172rank.html?countryName=Colombia&countryCode=co&regionCode=soa&rank=8#co)

## 2 Mexico

### 2.1 Background to the country

In Pre-Columbian Mesoamerica many cultures matured into advanced civilizations such as the Olmec, the Toltec, the Teotihuacan, the Zapotec, the Maya and the Aztec before the first contact with Europeans. In 1521, Spain conquered and colonized the territory from its base in México-Tenochtitlan, which was administered as the Viceroyalty of New Spain. This territory would eventually become Mexico when independence was recognized in 1821. The post-independence period was characterized by economic instability, the Mexican–American War and territorial cession to the US, a civil war, two empires and a domestic dictatorship. The latter led to the Mexican Revolution in 1910, which culminated with the promulgation of the 1917 Constitution and the emergence of the country's current political system. Elections held in July 2000 marked the first time that an opposition party won the presidency from the Institutional Revolutionary Party.

The United States of Mexico is a federation based on a presidential system according to the 1917 Constitution. The constitution establishes three levels of government: the federal Union, the state governments and municipal governments. All states of the federation must have a republican form of government composed of three branches: the executive, represented by a governor and an appointed cabinet, the legislative branch constituted by a unicameral congress and the judiciary. They also have their own civil and judicial codes. There are 31 states and 1 federal district (Mexico City).

The Executive is the President of the United Mexican States, who is the head of state and government, as well as the commander-in-chief of the Mexican military forces. Citizens elect by direct voting a state governor for a six-year term, and representatives to their respective unicameral state congresses for three-year terms. ([http://en.wikipedia.org/wiki/States\\_of\\_mexico](http://en.wikipedia.org/wiki/States_of_mexico)).

Annually federal resources are provided to the states and municipalities (around 60% goes to states) and about 95% of the state budget is from federal sources (of which about half is conditional, and half a global allocation to the state). The federal constitution allocates competences including services and financial resources. The competences are often concurrent eg education, health, environment, each sphere has a role to play. Also states administer federal programmes, where federal provides resources but also specifies the rules of operation. The autonomy of states and municipalities is limited however in that they depend on financial transfers.

The states are divided into municipios (municipalities, the smallest administrative political entity in the country, governed by a mayor or municipal president (Presidente municipal), elected by its residents by plurality. There are 2,438 municipalities in Mexico, making the average municipal population 45,616, which may be entirely urban or consist of a town or central village as well as its hinterland. Yucatan has 106 municipalities. Members of municipio governments are typically elected for three-year terms. Municipalities are responsible for public services (such as water and sewerage), street lighting, public safety, traffic, supervision of slaughterhouses and the cleaning and maintenance of public parks, gardens and cemeteries. They may also assist the state and federal governments in education, emergency fire and medical services, environmental protection and maintenance of monuments and historical landmarks. Since 1983, they can collect property taxes and user fees, although more funds are obtained from the state and federal governments than from their own collection efforts. Municipalities vary enormously in size, resources and capacity. Rural municipalities are often very marginalised.

The second article of the constitution recognizes the multicultural composition of the nation founded upon the indigenous peoples to whom the government grants the right of self-(free) determination and autonomy. According to this article indigenous peoples are granted:

- The right to decide the internal forms of social, economic, political and cultural organization;
- The right to apply their own normative systems of regulation as long as human rights and rights of women (gender equality) are granted;
- The right to preserve and enrich their languages and culture;
- The right to elect representatives before the municipal council in which their territories are located; amongst other rights.

The nation recognizes 62 indigenous languages as "national languages" with the same validity as Spanish in the territories in which they are spoken and the indigenous peoples are entitled to request public services in their languages ([http://en.wikipedia.org/wiki/Political\\_divisions\\_of\\_Mexico](http://en.wikipedia.org/wiki/Political_divisions_of_Mexico)).

Three parties have historically been the dominant parties in Mexican politics: the National Action Party (PAN): a right-wing conservative party founded in 1939; the Institutional Revolutionary Party (PRI), a centre-left party founded in 1929 to unite all the factions of the Mexican Revolution and afterwards held an almost hegemonic power in Mexican politics until 2000; the Party of the Democratic Revolution (PRD), a left-wing party, founded in 1989 as the successor of the coalition of socialists and liberal parties.

Mexico is the country with the 13th largest nominal GDP and is the 11th largest by purchasing power parity. GDP annual average growth between 1995–2002 was 5.1%. Foreign debt decreased to less than 20% of GDP. From 2000 to 2004, the population in poverty has decreased from 24.2% to 17.6% in the general population and from 42% to 27.9% in rural areas. Since the late 1990s, the majority of the population has been part of the growing middle class. The Mexican economy is expected to nearly triple by 2020. According to Goldman Sachs, by 2050 Mexico will have the 5th largest economy in the world.

The 2010 Census showed a population of 112 million, making it the most populous Spanish-speaking country in the world. Mexico is ethnically diverse but Mexican politicians and reformers were instrumental in building a Mexican national identity on the concept of mestizaje (mixing). 9% of the population are ethnically white, 60% mixed and 30% Amerindian. 9.8% of the population speak indigenous languages.

According to a 2008 UN report the average income in a typical urbanized area of Mexico was \$26,654, a rate higher than advanced nations like South Korea or Taiwan, while the average income in rural areas just miles away was only \$8,403, a rate comparable to developing countries such as Russia or Turkey.

In terms of the states with which the team interacted, the state of Yucatan has a population of 1.95 million (2010), of which nearly 1 million live in the metropolitan area of Merida. The remainder is very rural with subsistence agricultural producers. 70% of employment is in services, with tourism having expanded rapidly. Approximately 800 000 people still speak the language Yucatecan Maya. The state of Queretero has a similar population of 1.8million, of which almost half live in the capital city, Santiago de Queretero. The economy is primarily industrial, with 32% of employment in manufacturing (<http://en.wikipedia.org/wiki/Querétaro>).

## **2.2 Mexico's Planning, Budgeting and PM&E system**

### **2.2.1 Legal basis and evolution of the system**

The PM&E system of Mexico has evolved over more than thirty years, with significant reforms and institutionalisation in the past ten years so that its PM&E system can be regarded as one of the most sophisticated in developing countries. A chronology of events and initiatives that marked the evolution of the Mexican M&E system is shown in Figure 1.

**Figure 1: Chronology of development of M&E in Mexico (from Castro et al, 2009)****DISPARATE EFFORTS FOR M&E**

- 1970s, 1980s, early 1990s
  - Pioneering program evaluations are conducted with the support of multilateral agencies, e.g., Public Investment Program for Rural Development (PIDER)
  - Introduction of “Integral Audits” and concepts of performance measurement by the new Federal Audit Institution (Contraloría)
  - National Planning System and Planning Law require financial and physical indicators to be presented to Congress.
- 1995
  - Evaluation System (SED) is envisioned as part of a budget reform.
  - The evaluations of the Social Milk Supply Program (Liconsa), the Rural Supply program (Diconsa), the National Solidarity Program (PRONASOL) and several job training programs are conducted.
- 1996
  - The Program for the Modernization of the Public Administration (PROMAP), introduces performance indicators, internal evaluations and the concepts “accountability” “performance management” and “performance budgeting” to the Federal Administration.

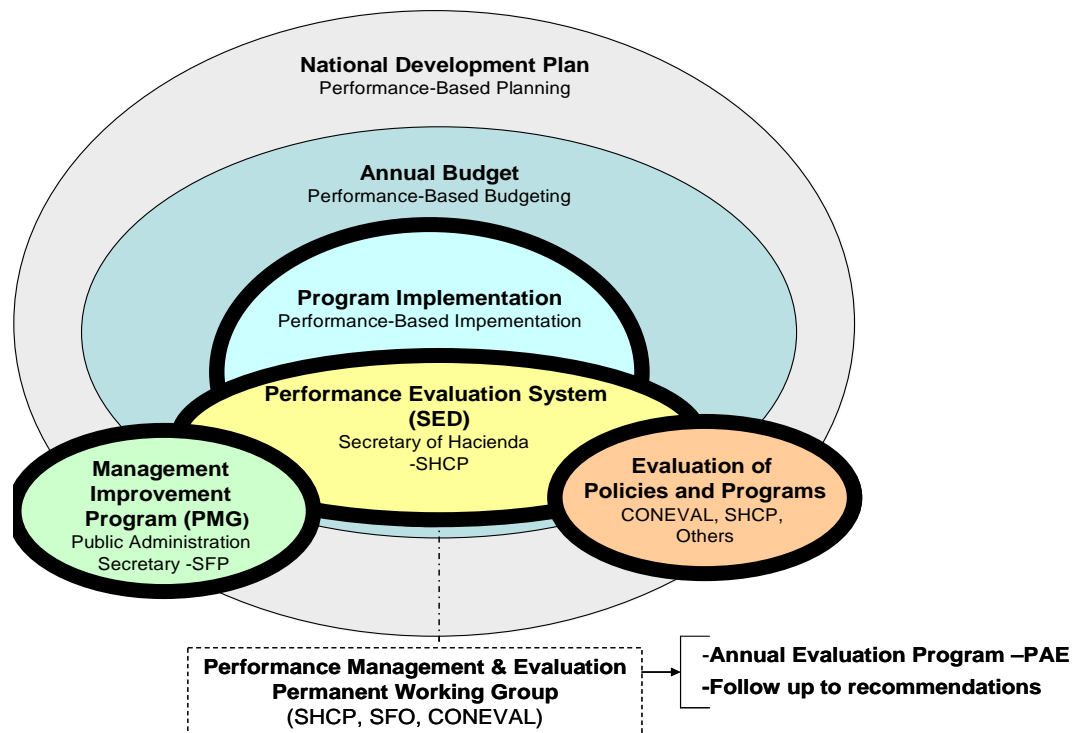
**ESTABLISHING A SYSTEMIC ROLE FOR EVALUATION**

- 1997
  - Influential evaluation of Progres/Oportunidades program starts.
- 1998
  - Congress requires federal programs providing subsidies to prepare rules of operation (ROP) with standard information on design, objectives, performance indicators, beneficiaries, and operation.
- 1999
  - Congress mandates all programs with ROP to be evaluated annually by external evaluators.
- 2000
  - Results of the evaluation of Progres/Oportunidades are published.
  - Technical Committee for Poverty Measurement (CTMP) is set up to prepare an official methodology to measure poverty reduction.
  - Implementation of a Presidential Goals System.
- 2001
  - Creation of SEDESOL’s Under Secretary for Planning, Prospect, and Evaluation.
  - Creation of the new Federal Superior Auditing Office (ASF)
- 2002
  - Creation of the National Institute for the Evaluation of Education.
  - The Federal Transparency and Public Information Access Law is passed, reinforcing evaluation’s role and its public dissemination.
- 2003
  - The Public Administration Secretariat (SFP) is created, with responsibilities in performance auditing.

**PROGRESS TOWARD A GOVERNMENTWIDE M&E SYSTEM**

- 2004
  - The Social Development Law is passed, introducing monitoring and evaluation of social programs and creating the National Evaluation Council (CONEVAL).
- 2005
  - CONEVAL’s rules of operation are enacted and the council begins operations.
- 2006
  - The Federal Law of Budget and Fiscal Responsibility is enacted, making operational the links between strategic planning and the budget process, and creating the Performance Evaluation System (SED).
- 2007
  - General Guidelines for the Evaluation of Federal Programs are set up to establish results frameworks, procedures, standard methods, and coordination mechanisms.
  - CONEVAL conducts widespread training in logic frameworks for all program officials.
  - The Annual Budget Decree assigns specific resources for program evaluations.
- 2008
  - The General Guidelines for the Programming and Budgeting Processes establish operational procedures and rules for the implementation of performance budgeting and the Performance Evaluation System (SED).
  - SED begins formal operations.
  - The Annual Budget Decree introduces the National Annual Evaluation Plan.



**Figure 1: Mexico's Whole-of-Government Performance-based Management System**

The Mexican PM&E system is founded on a results-based management framework which emphasises a linkage between planning, budgeting and monitoring and evaluation (see Figure 1). Until 1975 government did not specify objectives and indicators. In 1976 the Programme Budgeting framework was adopted. In 1997 the success of the first impact evaluation of the major conditional grant system (PROGRESA), led to a demand for the institutionalisation of evaluation. This culminated in 2004 in a law establishing the National Council for Evaluation (CONEVAL) as a structure within the Ministry of Social Development (SEDESOL), but with an independent board. CONEVAL has been instrumental in driving the system of performance M&E. In 2000 the Federal Superior Audit organisation (ASF) initiated performance audits.

The 2006 Budget and Fiscal Responsibility Law (DFRL) marked a period of major reform of the Mexican PM&E system, as for the first time principles and rules of evaluation of investment projects were specified in law. The law established the Performance Evaluation System (SED) which required performance indicators to be included in the budget and called for the establishment of guidelines for the external evaluation of government programmes. The 2007 Integrated Fiscal Reform (IFR) advanced the results-based management reform to sub-national level.

The results-based budgeting reform plays a critical role in integrating the national and sub-national levels of the PM&E system of Mexico. The Integrated Fiscal Reform (IFR) law of 2007 is a key reform package as it modified the fiscal framework between states and the federal government and established performance budgeting at a sub-national level. The 2008 Government Accounting Law seeks to establish accrual accounting and financial harmonisation across federal, state and local levels. As a result of these reforms, strategies are in place to develop an integrated financial and management system that would relate budget and the accounting systems. It is also planned that in 2011 there will be accrual-based accounting registries, account catalogues, and accounting manuals for the whole of government.

Evaluation of federal programmes has become a key instrument to ensure accountability and transparency of the system, as it is mandatory that all congress-funded programs should have logical frameworks and be evaluated. Evaluations are conducted by the SHCP, CONEVAL, SFP, the Supreme Audit Office, line Ministries and sub-national administrations.

Recently a three-stage process of the evolution of the system is being implemented:

1. Completing the implementation of SED in the Federal Public Administration in 2008 – establishing principles, systems and guidelines.
2. Consolidating results-based management (PBR) and SED in departments and entities of the Act from 2009-2012.
3. Supporting state governments in implementation and consolidation of PBR and SED. There are working with 10 of the 32 states, aiming to work with 17 by the end of the administration.

Some key recent steps were:

In 2008

- Defining the regulatory framework;
- Adequacy of budget framework;
- Working further on the framework and system for M&E;
- Developing tools for HR training and they have a big programme with the National University of Mexico (UNAM) at diploma level. They are developing a new strategy for capacity development at national/state level using internet-based training.

2009

- Performance budgeting and evaluation system;
- Improvement of matrices and indicators;
- Improving the quality of performance information.

### **Mexico's Planning System**

Mexico has a long-term vision, Vision 2030, which was developed with some degree of participation and extensive review of information from local and international sources. The vision has 5 themes, namely:

- rule of law and security;
- competitive and job-creating economy;
- equal opportunities;
- environmental sustainability; and
- effective democracy and responsible foreign policy.

The vision has 30 indicators with clear long-term goals. For example, under the theme on equality of opportunities (theme 3), goal 20 is child health and the indicator is on the reduction of infant mortality rate within specified parameters.

There is also a National Development Plan (NDP), which is a medium-term plan covering the period for each Presidential administration of 6 years. Informed by the electoral mandate and the long-term vision of the country, the NDP has identified 10 national priorities, establishes an integrated strategy for public policy coherence, courses of action and programmes to be implemented during the term of each administration. Article 26 of the Constitution makes it compulsory for all institutions of government to implement the NDP programmes. Article 21 of the Constitution sets the tone for an integrated results-based management system, as it specifies the elements of the NDP like objectives, strategies, priorities, resources, instruments and actors responsible for execution, policy guidelines, programmes and coordination mechanisms among various state and non-state actors.

The main focus of the Presidency is to lead the development of the NDP and attendant programs, coordinate implementation by various ministries and agencies, and promote M&E using strategic indicators.

The NDP programmes are classified into sectoral, special, regional and institutional programmes. All of these programmes have a standardised structure with a **logframe** (called a matrix of indicators) including a clear objective, set of indicators, goals, strategies and courses of action. They also have clear **rules of operation (ROPs)**. In total there are 17 sectoral programmes with 122 objectives, and 400 indicators informed by the standard rules of operation. A process of linking programmes to specific projects has been established, namely: project inventory, obstacle identification, section criteria, project selection, and project prioritisation. Projects as the lowest level of programme implementation have detailed work-plans and critical paths specifying milestones and activities to be accomplished. Work groups are used for implementation and undergo training and supervision by dedicated project managers.

Key to the design of the 17 sectoral programmes is alignment with the budget and **periodic evaluations**. There is a framework for homogenous and comparable evaluations whose results are made public.

The comment was made that there are too many objectives and indicators, and the Presidency feels that there is a need to be disciplined to focus on a few priority objectives and indicators. People make plans but don't follow them - discipline can be seen as boring. They also made the point of needing to have champions at every level – who are committed and maybe frustrated, and need to feel proud, and get them to focus on these priorities.

### **Performance-based budgeting and programmes**

Mexico is moving from budgeting on inputs and activities to cover outputs and outcomes. The key link is through the **programme budget structure**. Budgetary programmes must be aligned to the NDP, programmatic structure, and economic classification. There are 15 types of programme which include: Grant Programmes subject to rules of operation (ROPs), Other Grant Programmes, Public service delivery, Provision of public goods, regional programmes, etc. Some examples include – 5071 Programme for temporary employment, Programme for developing human opportunities, Programme for over 70s. Each programme can be in a number of different departments, but the total budget can then be analysed across all budgets as the programme budget is identifiable separately.

Programmes are not necessarily across departments. For example for employment the relevant departments define their own programmes, but they also work together to get an overall vision. They don't produce a combined document. However the related budget requests are looked at together. However the theory of change may not be as strong as it could be, as departments are looking at the programmes separately. Last year for the first time they brought together related programmes to try and get them better integrated, and used the objectives for each as the way to try and do this.

Budgets are allocated per programme.

Before 2007 there was no common approach for federal programmes. A key step has been the introduction of a standard **logframe** (Matrix of Indicators), which forms the link between planning, budgeting and M&E. Many programmes were not designed well – eg some having too many goals. It was decided to use the logical framework to redesign, linked to a design evaluation (which checks the design logic of a programme). The first logframes had limitations eg external consultants who developed the logframes often don't have deep understanding of the programmes, and sometimes they proposed indicators that can't be monitored. CEPAL (Economic Commission for Latin America) ran capacity development programmes on applying logframes.

The programme budget is linked to performance, which is ranked according to:

- Over/underspending (10%)
- Public priority (Presidential Office/ Law of Budget/none) (15%)
- Presence of logframe and indicators (compliance down to non-) (25%)
- External evaluations undertaken - for the different evaluations weight different elements of the evaluation (25%)
- Compliance in aspects in need of improvement (25%)

When the scores are done, all parties come together with the owner in the line ministry and review each budgetary programmes. In the case of SEDESOL, the comment was made that “Re the budget sometimes the Minister when he discusses the budget with the programme director he takes into account the results of the evaluations, increasing budgets when they can see that people are addressing the weaknesses. This is not magic but an improvement.”

## **M&E**

Article 134 of the Constitution makes it obligatory for government at all levels to use resources efficiently and effectively. Constitution Article 79 gives the oversight responsibility to the Supreme Federal Auditor (ASF) to check federal resources. The Law of Fiscalization of the Federation of 2000 establishes that the ASF has suitable methods to accomplish this, as well as to establish achievement of objective and goals.

The SED as the main driver of the government-wide M&E system of Mexico has two main components. Firstly, the **M&E of budgetary programmes** which are monitored via a set of 400 performance indicators at the level of outputs and outcomes. Further, **programme and policy evaluations** are done focusing on design, process and impact evaluations. Secondly, the emerging Management Improvement Programme aims to evaluate management practices and efficiency and effectiveness of institutions in delivering public goods and services. This second component is the responsibility of the Ministry of Public Service (SFP).

In terms of improving performance information, linked to the SED are **guidelines for budgetary classification** which reinforce the Budget for Results Strategy and the alignment of budgetary programmes with the NDP. The **logical framework methodology** is used as the catalyst for linking NDP goals to programme objectives and performance indicators. There is a clear **evaluations agenda** in the form of the Annual Evaluation Programme (ARP) and capacity development programme driven by the SED.

The consolidation of the SED was carried out in 2009 focusing on three key areas: performance-budgeting and PM&E system, improvement of the logframes (Matrix of Indicators) and training of human resources for the results-based performance evaluation system (PBR-SED).

### **2.2.2 Roles of key players at national level in the Planning, Budgeting and PM&E system**

#### **The Presidency**

The Presidency has a Cabinet coordination office with 15 officials. It plays a leadership role in the PM&E system via the long-term planning process with its key outputs being the long-term vision (Vision 2030 Plan), the 6-year National Development Plan (NDP) (Plan 2007 – 2012), and NDP programmes. In addition to the constitutional imperatives, the Presidency is the Custodian of the Federal Planning Act and Guidelines of the NDP which elaborate on the regulation and linkage between the planning, budgeting, program implementation and M&E, as well as the institutional arrangements.

In essence, the Presidency plays leadership, coordination and oversight roles in terms of planning and M&E. It specifically drives alignment to the key priorities of government via the direct development and implementation of special programmes which are monitored via a

limited number of indicators. There is a national dashboard, and progress against the dashboard is reviewed regularly with Ministers.

***The Finance Ministry – Secretaria de Hacienda y CreditoPublico (SHCP)***

The SHCP is responsible for the whole-of-government results-based management system (SED). It is the key institution in terms of coordinating linkages between planning, budgeting and M&E in the Mexican PM&E system. The SHCP maintains a monitoring system called the “black-box”. SHCP has a Unit of Evaluation of Performance Budgeting with 25 officials.

***Ministry of Public Service - Secretaria de FncionPublica (SFP)***

The role of SFP in the PM&E system is limited to the emerging task of Management Improvement Programme. This programme assesses management practices of various government institutions with the aim of improving their efficiency and effectiveness.

***Supreme Federal Auditor – Auditoria Superior Federal (ASF)***

The Supreme Audit Office (ASF) plays a critical role in institutional evaluation and performance audits.

***National Ministries eg Ministry of Social Development (Secretariat for Social Development – SEDESOL)***

The development of social development policy is federal but delivery is the responsibility of state and local governments. The total budget of SEDESOL programmes is \$6bn. They sign commitments with the states and local government which agree their components of different programmes – and the partners must be clear that they share the goals of the federal government. In the case of Oportunidades the same scheme is used everywhere.

SEDESOL is the pioneer of the modern wave of M&E in the country as in 1997 it was responsible for implementing the first rigorously planned and impact evaluated sectoral programme known as *Progressa/Oportunidades*. The evaluation component of Oportunidades became an international best-practice case study since that led to the adoption of similar models by a number of countries around the world (Castro *et al*, 2009). More detailed discussion of *Oportunidades* is in 2.4 below.

Ministries have their own departments responsible for planning and M&E. They also sometimes have independent agencies used eg in Education the INEE (National Institute for the Evaluation of Education).

***CONEVAL***

SEDESOL led the passing of the Social Development Law of 2004 by the Mexican Congress. This piece of legislation was revolutionary in terms of institutionalising M&E in the country as it created the National Council for the Evaluation of Social Policy (CONEVAL) accountable to the Minister of Social Development and responsible for evaluation of social policy as well as measurement of poverty. The ambit of social policy is very wide in Mexico as it cuts across education, health, social protection, labour and agriculture. This scope makes CONEVAL a very central institution in driving evaluations in the country, and due to its advanced technical expertise and independence it provides technical support to all evaluations conducted in the country, including those done by SHCP in the areas of economic and infrastructure programmes. It has 73 staff.

**2.2.3 Roles of states**

As indicated in the introduction, Mexico is a federal republic with 32 states, including the federal district of Mexico City. Except where specified in law, sub-national governments develop and implement their own policies and make independent decisions on where and how to spend the funds. As power shifted from President to Congress after 2000, so power also shifted to Governors and it can be difficult for national ministries e.g. SHCP to convince states to follow federal regulations. The dynamic is also affected by whether the State Governor is from the same party as the state legislature. This dynamic of sovereignty of sub-

national governments makes it quite difficult for national government to have a direct control and monitor what happens at subnational levels. For example, whilst most of the budget used by the states comes from the federal government, various states have independent accounting systems.

There is M&E capacity at state level, often in a separate department of planning and programming. Other departments may also have evaluation capacity, e.g. each state has an evaluation unit for education. The national ministry then coordinates with all these units when doing evaluation.

The team had contact with two states both in the process of implementing a PM&E system, Yucatan and Queretaro. These cases are provided as examples of how the PM&E system operates at sub-national level.

### **State of Queretaro**

The State of Queretaro is a relatively strong and well-off state. Queretaro has implemented a Results-Based Management (RBM) system. Their plans are at three levels:

- Five-year strategic programme partly align to the NDP;
- Three-year budget programs linked to three-year institutional level strategies; and
- Annual implementation plans.

The state performs a highly sophisticated problem analysis based on expert opinions. This problem analysis leads to the identification of 50 strategic objectives. There are some commonalities between the national and the state level indicators but the systems are run independently of each other. The state performs comprehensive expert-driven diagnostics. In cross-cutting programmes like justice and crime there are working groups guided by agreements that are entered into by the key role players. They run an electronic system based on the logic model. The link between planning, budgeting and M&E is implied but not directly implemented as they are still working on the results indicators. Currently they are focusing on macro-indicators and not tasks, and funding occurs at the level of activities from the each of the budget programmes. They work closely with CONEVAL for technical assistance and capacity development.

With closer scrutiny, it became clear that there was no logical framework for the administrative functions and the linkage with budget programmes is not always clear. Their system appears to be a combination of performance budgeting and activity-based budgeting systems and the data warehouse is linked to the system of evaluation at a federal level. Evaluation results are used for planning purposes. Going forward, they are proposing an information system that will help integrate all their performance information. The state does not necessarily have an annual evaluation plan of its own.

The federal programmes implemented at state level are informed by the rules of operation and the state reports to federal government on selected indicators. However, there is more emphasis on state specific indicators.

When trying to make sense of how the state links to the national programmes, it becomes apparent that there is still much to be done at state level. The budgeting and other management systems appear to be based on RBM in name rather than in practice. There was no clarity on how the reporting process takes place and the measurability of the indicators is in doubt. The wide ranging set of problems identified and 50 strategic objectives demonstrated that their systems were work in progress.

### State of Yucatan

The State of Yucatan is the south east of the country, a much poorer area than Queretero. It has 20 departments. In Yucatan planning includes federal plans, sectoral plans, long-term plans, and the allocation of budget as well as M&E, all the responsibility of the state Ministry of Planning and Programming (SPP), and has 18 professional staff. The State Development Plan is from 2007-12.

The state used to budget by activities, but are now moving to budget by policy or programmes. There are overlaps between performance auditing and M&E. The Supreme State Auditor has developed the performance audit instrument from the legislative arm of government. Conflicts do arise between the institutions on the legislative with those on the executive side of government and sometimes tensions exist between the state programmes and national. The autonomy/sovereignty of municipalities brings about complexity arising from their powers and functions.

An example of the nutrition programme was presented whereby various ministries had allocated budget for actions that were related to malnutrition. The budgets were diverse and they did not know how much was actually spent on nutrition. Everything was put together and logical framework was done to rationalise the programs. Budget distribution is done for various programmes. Changes on the budgeting system are done on an incremental basis.

The state faced the following challenges with regard to PM&E: lack of information, lack of implementation capacity, lack of measurement of the efficiency and effectiveness in relation to the improvement of life, lack of good indicators for evaluation, poor quality information, and lack of participation of communities in the M&E.

The state has built their system with the assistance of the OECD, IADB and the World Bank. In 2008 a lot of methodologies and guidelines were established and in 2009 constitutional reforms started at state level. In 2010 much of the line function work was consolidated and capacity building was undertaken by a number of local and international bodies. Specific elements included:

- Developing a proposal for strengthening the GIS and evaluation system;
- Developing logframes for state programmes (CONEVAL);
- Support to develop the system for capital investment;
- Improving administrative data;
- Reengineering the processes;
- Supporting development of a local Centre for Statistics.

They started with the federal programmes (they had about 190 programmes). They used a questionnaire to see their characteristics, objectives, rules of operation. They allocated indicators with state depts and started to construct logframes for the priority programmes with the assistance of CONEVAL and IADB consultants. This allowed them to move to output/outcome indicators, and a geographical focus. They completed logframes for 32 programmes and after 3 years they have covered 60% of the state budget. They undertook capacity development in planning, programming, logframes, evaluation, indicators, as well as a range of organisational data. The department has built the capacity of state staff in indicators, logframes, statistics. This is still a minority of staff but all departments have been covered. This has to be institutionalised in academic training.

A Law of Budget and Government has just been implemented to institutionalise the system of evaluation. The state is also planning to establish its own evaluation body linked to the state congress (legislature). The Supreme State Auditor and CONEVAL play a key role in evaluating programmes implemented at the state level but the weakness is that there is no

follow-up on the recommendations of such evaluations. They are in the process of developing a new technology platform to process the information.

They are planning an annual evaluation programme 2011-12 starting with simple tools, using existing resources, and getting the capacity development going. The proposed Congress evaluation body should be able to regulate and guide evaluations at the state level. There is a plan to seek the assistance of the World Bank to coordinate evaluations and a new system is being developed for implementation in 2011.

### 2.2.5 Coordination around PM&E

Coordination has been in a challenge in Mexico. One law mandates CONEVAL to do audits of all social programmes, but another gives SHCP and SFP the mandate to do all evaluations. In 2006 CONEVAL sat with SHCP and SFP to see how to deal with this and they agreed to divide up the programmes. SHCP didn't have the tools and capacity to do evaluation or the SED, so SHCP were happy for CONEVAL to take the lead on developing these. In terms of this agreement SHCP conducts evaluation of economic and infrastructure programmes, CONEVAL provides technical assistance to all institutions and manages evaluations of social programmes and SFP conducts evaluations of management practise via the Management Improvement Programme.

As an attempt to improve coordination of the PM&E system, an informal Working Group was established composed of the Presidency (with its Cabinet coordination office with 15 officials), SFP with its evaluation unit, CONEVAL and the SHCP's Unit of Evaluation of Performance Budgeting. The first design for the working group was very heavy, with lots of duties so nobody wanted to be involved. So then they put together a long-term non-binding soft strategy and negotiated a deal to only deal with strategic aspects. This was complemented by a strong political drive by SHCP, and a good understanding by the Presidency.

## 2.3 The system of evaluation in Mexico

### 2.3.1 How is evaluation understood

In Mexico, although evaluation is understood to be part of the overall performance system, its legal, institutional and implementation mechanisms are separate to that of other elements of the performance management system and it is viewed as a **separate and specialised function**. Evaluation is viewed as complementary to and in some respects, superior to other routine performance measurement techniques. It is seen to be different to monitoring in that it offers a more in-depth study of program performance, it analyses causes and effects in greater detail, provides recommendations, or may assess performance issues normally too difficult, expensive or long-term to assess through on-going monitoring. In that sense, evaluation is seen to be a part of research.

Evaluation is seen to be a **key source of information** on how public money should be spent, and to assess whether allocations have been spent in accordance to plans. Hence its profile and status has been greatly elevated in the constitutional, legal, political, institutional and financial dimensions of the government system.

Evaluation is understood to be technically demanding, but not too technical to be understood by the public. Its findings are therefore made public and government's annual evaluation agenda has to be approved by Mexico's parliament.

The Mexican government places high premium on the **credibility and legitimacy** of evaluations. It therefore promotes external evaluations, as opposed to self-evaluations or internal evaluations. A potential danger of external evaluations is that it could result in lack of ownership and poor use of evaluation findings for project/program improvements. However Mexico has managed to overcome this potential problem by the adoption of participatory techniques to facilitate greater involvement and ownership by various stakeholder and



beneficiary groups. In addition, its formal stage of *follow up* to evaluation recommendations (which includes an analysis of the recommendations, an examination of their feasibility as well as actions and plans for improvement) ensures the utilisation of evaluation findings for learning and improvement.

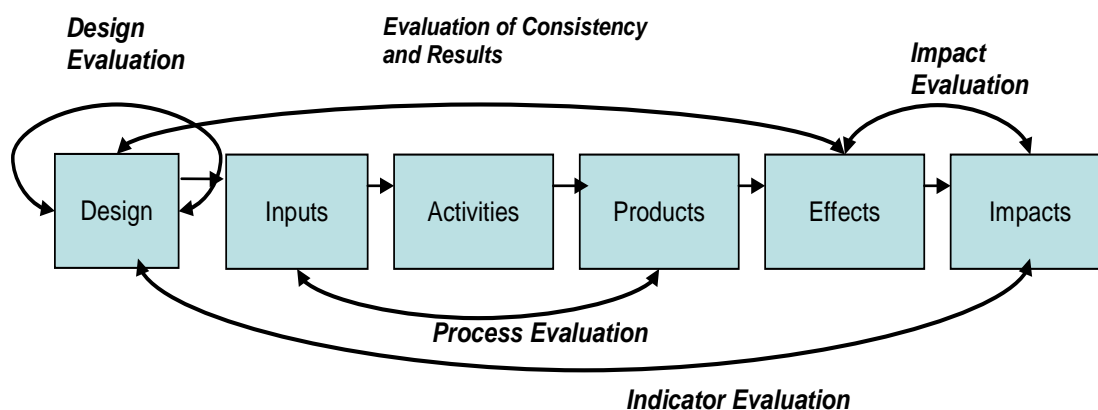
The scope of evaluation in Mexico is seen to be comprehensive: it encompasses the evaluation of policies, projects and institutions. However, it has not been easy to link institutional evaluation with programme and policy evaluation. Nor has it been easy to link individual performance with either institutional or policy/programme evaluation.

### 2.3.2 The roles different organisations play in the evaluation system

The system of evaluation in Mexico is highly centralised. This could be attributed to both the high levels of capacity and expertise needed to undertake and commission evaluation, as well as the need to evaluate cross-cutting programmes that are implemented by more than one government department. Hence, despite mandates accorded to all levels of government as well as line Ministries to undertake evaluations, most evaluations are undertaken through centralised mechanisms facilitated by either the Finance Ministry or CONEVAL.

As discussed in 2.2.5, there is overlap in roles and this has been sorted out so that CONEVAL focuses on evaluation in the social sector, co-ordinates cross-sectional evaluation activities, sets out standards and methodologies for the evaluation of social programs, provides technical assistance to ministries and agencies and undertakes or manages some specific evaluations. In practice while SHCP and SFP do undertake some evaluations outside the social sector, CONEVAL is the technical driving force. The coordination is through a working group also discussed in 2.2.5.

**Figure 2: Main types of evaluation in Mexico (from Castro et al, 2009)**



In terms of capacity CONEVAL has 73 people of whom 6 are working on policy evaluation and 5 on impact evaluation.

### 2.3.3 The types of evaluations used and their experiences of applying these

In March 2007, CONEVAL, SHPC, and SFP jointly launched the General Guidelines for the Evaluation of Federal Programs. These guidelines introduced technical criteria for regulating the evaluation of federal programs, standardized procedures for improving the formulation of performance indicators and strategic objectives, and called for the development of M&E systems at all agencies of the federal government.

Since 2007 a total of 822 evaluations have been implemented by 2011. Evaluations are conducted or implemented by external evaluators (academics or private consultants) and published on line ministry websites and also on SHCP website.

The main categories of evaluations are shown in Figure 2 and Table 2 below:

1. Design
2. Consistency and results
3. Processes
4. Impact
5. Strategic
6. Performance specific
7. Complementary
8. Indicators

**Table 2: Mexico's types of evaluation**(from the General Guidelines for Evaluation of Federal Programmes)

Type	Covers
<b>Consistency and results</b>	This is a rapid assessment used to obtain a <b>general and comparative perspective</b> of the design, strategic planning, coverage and targeting mechanisms, operation, beneficiary perception and results. It is used to see what areas need more rigorous evaluation, and only uses secondary data.
<b>Process evaluation</b>	Aim to evaluate whether a programmes <b>operational mechanisms support achievement or not</b> . It is requested directly by programme managers and stakeholders at line ministry level and uses qualitative methodology, being applied during programme operation to improve the efficiency and efficacy of operational processes.
<b>Design evaluation</b>	Used to analyse the <b>inner logic and consistency</b> of the programme, either before a programme starts, or in their first year of implementation. Again this uses only secondary information and is mandatory for all new programmes.
<b>Indicators evaluation</b>	To analyse the relevance of <b>indicators</b>
<b>Impact evaluation</b>	Measures <b>changes in outcomes</b> – often using experimental or quasi-experimental designs. The challenge is around control groups, which can be difficult to establish, and may involve ethical questions in refusing a certain group access. These are expensive typically costing around R10-20 million, similar to SA.
<b>Specific performance evaluation (EED)</b>	This <b>reports on all indicators in the monitoring system</b> and information from the evaluation process using standard format. These are only 8 pages with a summary of 3. This is a tool for the decision-making process. These are presented annually. It reports on: results, products (goods and services to beneficiary), coverage, follow-up to areas susceptible for improvement. This has been done for 133 programmes and so one can easily compare them. Costs only around \$5000 but is still done by external evaluators.

Apart from the list above CONEVAL also mentioned policy evaluation. Of the around 130 evaluations being undertaken per year, around 5 are impact evaluations. In general they do a qualitative evaluation first to get the initial hypothesis, then follow up with the impact evaluations.

#### **2.3.4 How evaluation is managed (planned, funded, implemented)**

The design of the evaluation is done by the line ministry using standard terms of reference (TORs) for each type of evaluation. If a department wants to develop a new programme, they now follow the following:

Year 0	Do Diagnostic (to inform programme design)
Year 1	Design evaluation, evaluation of indicators
Year 2	Evaluate processes, evaluation of indicators
Year 3	Evaluate consistency and results, satisfaction, indicators

Each programme should have an evaluation design and specific **rules of operation**, and these are published in the official journal. These specify that say max of 4% on administrative expenditure. There is a maximum of 7% of programme budget to spend on evaluation.

The system requires programmes to demonstrate their results so they have to pay for their own evaluations. For large programmes they need to have more in-depth evaluations eg impact evaluations. If the programmes have lower budgets, then they use consistency and result evaluations which are much cheaper.

### **2.3.5 The capacity in government to manage or undertake evaluations and ensure professionalism**

All federal ministries appear to have planning and programming sections who deal with evaluations, and the states we met also had a separate planning and programming department. Most evaluations are outsourced to external evaluators for objectivity and credibility of results. What seems to be key for government is the technical capacity to design and engage with evaluation design, implementation and the utilization. Officials in the ministries undertake the design of the evaluations including the terms of reference. However, process evaluations are usually undertaken internally. The emphasis on line ministries is that officials should be able to utilize evaluations findings or implement recommendations. This is the focus of the capacity building initiatives to line Ministries.

Despite this there is limited capacity to design and oversee evaluations in government, and there is a lot of dependence on CONEVAL. There is also a problem in the supply of professional evaluators.

There was also a major need for capacity development at the stage of developing logframes for all the programmes.

### **2.3.6 Ensuring the follow-up of evaluation across government, and lessons shared**

Until recently, Mexico found that many findings were not taken forward and implemented. One problem identified is that sometimes recommendations are difficult to implement. There is now a structured process to assist with follow-up which involves 4 steps:

1. Analysis of the findings and recommendations
2. Classification and prioritisation (choosing those recommendations that are clear, feasible and important)
3. Instrument formulation (developing the commitments, activities and timescale to solve the problems)
4. Dissemination of results

Often Ministries not happy with the results of the evaluation, sometimes CONEVAL has to change some of the recommendations, sometimes the evaluator keeps what they think. Ministries accept this as it is the law. The results or findings of the evaluations are discussed with each responsible minister and this forms part of their performance agreement. The fact that evaluations are conducted by credible external evaluators gives more confidence on the validity of the findings.

Evaluation findings are also disseminated and published in the ministries websites and include all the evaluations, the programmes point of view on the evaluation, and each programme's work plan.

Now they are finding that:

- Media and NGOs constantly use the evaluations;
- Programmes are under pressure to show results –and are moving slowly to results-based management;

- For the 2010/11 budget CONEVAL's information has been used by many players (Press, Congress, Presidency).

### **2.3.7 The incentives for ensuring that the lessons of M&E and specifically evaluations are implemented**

Increased use of evaluation findings has been boosted by the SHCP through the implementation of performance budgeting (see page 12).

### **2.3.8 What works well and less well and why**

#### **What appears to work well**

- The result-based management approach which links planning to budgeting and M&E quite advanced and appears to be working quite well
- Sectoral programmes linked to the NDP
- Standardisation of programmes using the logframe and rules of operation
- Standard terms of reference and templates for various types of evaluations
- Role of ministries working with CONEVAL as a source of support

#### **What works less well**

- The detailed (400) indicators are not necessarily published
- Too much focus on planning and evaluation and less on monitoring
- There is seemingly no link between the Presidency's dashboard and the SHCP's black box and matrix of indicators
- There is no oversight body which is a recipe for tensions in the system, as the SHCP seems to play a dominant role
- The sanctions or rewards are in place linked to the results of the evaluations
- Is there too much evaluation being done in the system?
- More still needs to be done to align federal/national, sub-national and municipal level.

Mexico presents great lessons for an integrated M&E system at federal level that is closely linked with the budget and planning processes. The institutionalisation of this system has been legalised and there is overwhelming buy in by the government at large. However this is not true at state level.

## **2.4 Ministry of Social Development (SEDESOL) and Oportunidades**

The work of the Ministry of Social Development is guided by the Living Better 'VivirMejor' strategy that encompasses all federal government programmes with the aim of directing them towards the same objective – Sustainable Human Development. Under the Living Better strategy, government actions are categorised along four categories:

- Development of Basic Capabilities
  - Oportunidades Human Development Programme
  - Food Support Programme
- Social Safety
  - 70 and over programme
  - Programme to Support Women's Organisations in the States to Implement Prevention of Violence Against Women
- Linking Economic and Social Policy
  - Daycare Centre Programme to Help Working Mothers
  - Income Generating Options
- Development and Improvement of Physical and Social Environment
  - Recovery of Public Spaces

- Rural Housing Programme

The Ministry signs commitments with States and Local Government where they agree on the components of different programmes and these spheres of government must be clear that they share the goals of the federal government. The social development programmes are designed at federal level and delivery is the responsibility of local governments. The total budget for SEDESOL's programmes is \$6bn.

### **Oportunidades Human Development Programme**

The long-term objective of Oportunidades is to contribute to breaking the intergenerational cycle of poverty, promoting development of capacities for education, health and nutrition. The short-term objective is to alleviate income poverty. It starts with nutritional supplements and cash transfers and when children go to school, they receive scholarships.

The Programme started in 1997 with 300 000 rural families, mainly in the south of Mexico. When the results of the external evaluation showed the effectiveness of the Programme, the coverage was expanded to semirural and then urban areas in 2001 and Oportunidades now covers about 90% of rural municipalities. All families in the Programme are surveyed every 2 years, if they pass a certain threshold, they remain in the programme. There is an interim zone where beneficiaries can remain in the programme. However, if they go beyond the interim level, then they fall out of the programme.

The programme provides cash transfers of \$40 (R280) to \$203 (R1421) with conditionalities related to school and clinic attendance. With regards to targeting, the Programme identifies localities with high indices of social lag or exclusion. The Programme then verifies that these localities have adequate health and educational facilities to provide services to the beneficiaries. Once a locality has been identified, a survey is undertaken, which identifies the poorest households. Once the households are selected the beneficiary family has to choose an account holder to receive the monetary assistance. The money is received every two months. It now reaches 5.8 million households (a quarter of the population of Mexico).

### **Evaluations of PROGRESA/Oportunidades**

Evaluations are carried out by external evaluators for impartiality and credibility. The evaluations provide information (data, results, insights) on design and or operational issues as well as focusing on the impacts of Oportunidades. The findings of the evaluation are used to strengthen and improve the programme. The initial design of Progresas (as it was then called) included an impact evaluation. At the time this was innovative and it meant that when the new government came into power in 2000, the programme was retained because it could show through a rigorous evaluation that it was making an impact.

In the original evaluation sample the following groups were evaluated – early intervention, late intervention, non-intervention. A survey was conducted every 6 months and at the end of 3 years the impact analysis was undertaken. The evaluation showed that the short-term impacts were very positive. The control group was incorporated after 3 years. When the coverage was expanded a new control group was identified. Then the evaluation compared the 3 groups – those with exposure throughout, those only 3 years, those with 6 years, to get a longer term view. This evaluation study started in 2001 and included 17,201 households in the sample. The latest available data is from 2008, so the medium-term impacts are being shown.

The various evaluations collected a wide range of data including anthropometric data and biological data. Some of the findings are that the lowest cost inputs are for children 2 years and below, including pregnant women. The evaluations also looked at the quality of services eg schools. The findings showed that the most critical area was the student's level of aspiration rather than other factors. Doing this evaluation required good co-ordination with other Ministries.

Various external evaluations have shown the following impacts:

- 85% increase in registration rate for first year high school students in rural areas;
- Transition to middle-school – increases probability by 42% for boys, 33% for girls;
- Increases average schooling by 1 year compared to average expected schooling for youth 15-18yrs in rural areas;
- Increase in preventative health check-ups – 35% in rural areas and 20% in urban areas;
- 11% reduction in maternal mortality and 2% reduction in infant.

The evaluation results have led to improvements in programme design. The scholarship scheme was reviewed when it was found that teachers were the main factor on performance rather than the scholarship. In addition another change to the programme was to change the iron formula in supplements when it was found the current formula was not showing significant results for certain groups.

### **Lessons for South Africa**

- Political will is important and political space – the motivation for the reform of the Mexican evaluation system was largely because of a change in the political administration. However technocrats used the space to develop an integrated system, albeit with limitations;
- Intuitions and institutional arrangements – SEDESOL is probably the strongest Ministry in terms of evaluation, building the system and the capacity takes time and making use of political moments;
- Synergies across programmes - the conditionalities of the Oportunidades programme seem to improve the synergies between different programmes;
- Feedback mechanisms are crucial – to improve programme delivery, but also to improve impact and show the value of the programme

## 3 Colombia

### 3.1 Background to the country

The territory of what is now "Colombia" was originally inhabited by indigenous people including the Muisca, Quimbaya, and Tairona. The Spanish arrived in 1499 and initiated a period of conquest and colonization creating the Viceroyalty of New Granada (comprising modern-day Colombia, Venezuela, Ecuador, the northwest region of Brazil and Panama) with its capital in Bogotá. Independence from Spain was won in 1819, but by 1830 "Gran Colombia" had collapsed with the secession of Venezuela and Ecuador. What is now Colombia and Panama emerged as the Republic of New Granada. The Republic of Colombia was finally declared in 1886. Panama seceded in 1903 under pressure to fulfil financial responsibilities towards the United States government to build the Panama Canal. (Wikipedia).

Colombia has a long tradition of constitutional government. The Liberal and Conservative parties, founded in 1848 and 1849 respectively, are two of the oldest surviving political parties in the Americas. However, tensions between the two have frequently erupted into violence, most notably in the Thousand Days War (1899–1902) and La Violencia, beginning in 1948. Since the 1960s, government forces, left-wing insurgents and right-wing paramilitaries have been engaged in the continent's longest-running armed conflict. Fuelled by the cocaine trade, this escalated dramatically in the 1980s. Nevertheless, in the recent decade (2000s) the violence has decreased significantly. Many paramilitary groups have demobilized as part of a controversial peace process with the government, and the guerrillas have lost control in many areas where they once dominated. Meanwhile Colombia's homicide rate, for many years one of the highest in the world, almost halved between 2002 and 2006. (Wikipedia).

Colombia is a federal state with a national government, 32 regional governments (departamentos), and 1119 local governments (municipios). Each department has a local government with a governor and assembly directly elected to four-year terms. Each municipality is headed by a mayor and council. National government has 13 Ministries and 6 administrative departments like the Department of National Planning (DNP). Ministries can propose laws to Congress. Many ministries were combined in 2002 in an attempt to rationalise the bureaucracy (like Labour and Health to create the Ministry of Social Protection), but many of these are being split again. As a presidential system there is a congress, and ministers are appointed staff by the President, rather than politicians, like the US system.

After a century of political centralization in Colombia, the first public election of city mayors in 1986 began a decentralization trend, which was later reinforced by a constitutional reform in 1991. Subnational governments (departments and municipalities) were made responsible for the planning and management of social and economic development in their jurisdictions. Administrative and political reforms were accompanied by fiscal decentralization, including the transfer of central government revenues. Since 1991 the growth of fiscal transfers has accelerated. Departments and municipalities are now responsible for public health, education, water supply, and sanitation expenditures through earmarked transfers. Out of the total amount of central government expenditures (21.8% of GDP in 2008) almost one-quarter represent regional transfers (5% of GDP), which finance half of all regional expenditures (10.2% of GDP). In terms of spending, regional government is almost half the size of the central government.

National Ministries eg Education are responsible for policy, provide technical assistance, control and inspection. In the case of Education they then support the 32 departments, 44 accredited municipalities and 4 districts, who run education services. These ensure the provision of education manage and allocate budgets from central government and organise and oversee the provision of education services.

Colombia has a similar average GDP per capita to South Africa (see Table 1), a high Gini coefficient, and high levels of poverty. The regions are very different and need differentiated policies. The ratio of income between richest regions (eg Bogota) and poorest regions (eg Pacific coast) is 5:1. There is a significant resource base (coal, oil etc) as well as agriculture and a significant manufacturing sector. South Africa has significant economic interests in Colombia through SAB Miller (which owns the main national brewery), Old Mutual (handles a lot of pensions), AngloGold, AngloCoal and BHP Billiton. A key challenge has been security where a longstanding guerrilla insurgency has operated in much of the country but is now reduced to 10% of the country. The number of poor and displaced Colombians was almost 3 million. Growth has been steady, but Colombia was hit heavily in the economic crisis of the late 90s, when they had their first recession in recent times. This led to the development of key programmes such as Familias en Accion.

In the national development plan the main slogan is democratic prosperity (and previously was democratic security). Some of the targets are:

- Target of 6% growth – this year 5.5%, more employment (2-2% higher than rest of latinamerica, target 9%);
- less poverty (to drop from 42% to 35.5%). Extreme poverty 15.9% to 9.5%. Multidimensional poverty decreases from 34% to 22%;
- Agriculture – 1.5m ha restored to 160 000 families. Has significant spare land to increase production;
- Mining and energy – increase oil and coal. Lot of coal, and good quantity of oil. Problem of railways to export to Asia;
- Infrastructure – 3 mt ranges from S to N. Increasing dual carriageway from 1050km to 2000km, 50 000km of local roads. Deficit of 2m homes.

## 3.2 Colombia's Planning, Budget and PM&E system

### 3.2.1 Legal basis and evolution of the system

Planning has a long tradition in Colombia. At least since 1949 but formally since the 1991 revision to the constitution, every new administration (both at the national and subnational level) is required to prepare a development plan, discuss it with civil society, and present it to the legislature for approval. The development plan includes policy objectives for the four-year constitutional term and an investment plan for achieving the objectives. Budgeting and planning are integrated during the formulation process. Development plans and, specifically, Annual Operational Investment Plans (POAI) are also the mechanism by which national, provincial, and local governments set up their capital investment budgets. The National Planning System has had the same constitutional and legal standing as the National Budget System. As such, M&E has received significant support. (Castro, 2010).

Colombia's constitutional reforms in 1991 granted prominence to the themes of budgeting, planning, monitoring and evaluation, as evidenced below:

Articles 151/34	Refers to the National Development Plan (NDP) and accords it the status of a <i>state Plan</i> (not just owned by the executive, not a government plan)
Article 339	Links the NPD to the development plans of local authorities
Article 340	Formalises the establishment of a Planning Commission and specifies the participatory nature of planning involving sub-national entities
Article 343	Deals with management and performance evaluation systems. It relates to SINERGIA, the M&E system
Article 344	Focuses on performance evaluation, which is linked to fiscal sustainability.



The 1991 constitutional reforms also strengthened the planning stage of public policies. Since then, every new administration (both at the national and sub national level) is required to prepare a development plan, discuss it with civil society, and present it to the legislature for approval. Budgeting and planning are integrated during the formulation process. Accomplishment of the planned objectives at the national and sub national levels was made mandatory by law, and failure to do so could lead to the forced resignation of governors.

Colombia's National Management and Results' Monitoring and Evaluation (M&E) System (SINERGIA<sup>3</sup>) was founded in 1994 and is managed by the Government's National Planning Department (DNP). SINERGIA was formally mandated in Colombia's Constitution in 1991, and implementation began in 1994, with the ratification of Law 152, which integrated it with the National Planning System. Colombia has been developing and improving SINERGIA over the past two decades. SINERGIA did not develop in a linear, methodical manner. Instead it went through periods of rapid progress, stagnation, and setbacks in response to different contexts, as well as to changing political and economic environments.

In its first stage SINERGIA did not significantly affect government decision-making processes; neither was it an effective accountability mechanism. Assessment of the system, carried out in 2002, showed that these aspects were closely linked to lack of coordination between SINERGIA and different political levels (the President, Congress, and general public). The institutional placement of SINERGIA within the Department of National Planning, rather than in the MoF, also played a role in limiting progress toward a systematic evaluation of spending through a results-based budgeting approach.

In mid-2002, the new administration opened a window of opportunity for SINERGIA. The Public Administration Renewal Program (PRAP), a cornerstone of the new government, introduced management by results, transparency, and accountability as key principles for public sector reform. SINERGIA was thus included as part of a number of crosscutting reforms of the PRAP, including civil service, public budget, procurement, state regulation, and public information, among others. SINERGIA received new importance; it became the focal point of the results-based management reform. The SINERGIA reform began in October 2002, but was not formally written up until almost one and a half years later, in 2004, as CONPES 3294. The redesign was headed up by the National Planning Department team in charge of PRAP, and specifically by the SINERGIA/DEPP team.

Although the 2002 reforms introduced during the new political administration resulted in the general public being widely approving of results-based M&E, some voices from academia and the private sector have questioned how independent SINERGIA really is, and how credible the information that it provides can be since it depends entirely on the executive. In addition, some of the system's institutional arrangements have begun to show its disadvantages, owing principally to the system's limited autonomy, funds, capabilities, and powers to enforce best practices and to regulate a growing evaluation market.

So the Performance evaluation system in Colombia is intricately linked to planning and budgeting through various Constitutional provisions. Article 339 of the Constitution of 1991 links the National Development Plan (NDP) with the Development Plans of Local Authorities and Article 344 refers to the Results-based Monitoring and Evaluation System (SINERGIA). The last amendment links the fiscal processes with planning.

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<sup>3</sup> The name "Sinergia" seems to be interpreted differently by various stakeholders. Some call it the National System for the Evaluation of Public Sector Performance

Further changes to legislation in 2006 attempted to draw budgetary and M&E practices closer together. New budgetary legislation included five articles central to moving toward a results orientation in public expenditure:

- Article 5: Introduction of results-based M&E activities as regular practices in the budget cycle;
- Articles 8 and 14: Inclusion of a program classification of budgets as a new economic classification category for expenditures;
- Article 9: Use of impact evaluation findings under the standards set out by the DNP as a key input of the budget programming process; and
- Article 34: Institutionalization of the annual evaluation agenda that SINERGIA had established in CONPES 3294 of 2004 in the form of budget legislation.

Given the above articles, a new results-based monitoring and evaluation framework that included budgeted resources was built around five stages: setting plans; defining indicators and goals; linking plans and budgets to results and monitoring and evaluating results.

The programmatic approach to the results-based framework is however, budget-driven. Hence programmes, sub-programmes and projects are a budget classification. The system allows for each programme to be coded and to be viewed in different budgets. The methodology for defining a programme varies – some are in one sector, others across cross sectors. Each programme/project is expected to have a logframe, regardless of size, but they are now trying to differentiate these.

SINERGIA's reporting strategy is based on a pyramid of 3 indicators:

- **Strategic indicators** – based on the top priorities of the President – Employment, Poverty, National Security, Citizen's Security. This is related to topics that require intersectoral coordination. Have a cross-sector dashboard and the Ministers' Council reviews this periodically.
- **Sectoral indicators** – related to topics that are developed by sector authorities (essentially the 19 agencies). These comprise mainly output and outcome indicators. Each Minister has to analyse the indicator values and commit to the results and develop strategies.
- **Administrative/management indicators** – these are general performance indicators. They draw on basic data from databases (budget, HR and procurement), and create performance maps using data they can capture, then do performance analysis on those not performing (=PAT).

### 3.2.2 Roles and coordination of key players at national level in the Planning, Budgeting and PM&E system

There is a collaborative working relationship amongst the three transversal Departments responsible for evaluation, planning, and budgeting, namely, the Presidency, the Ministry of Planning and the Ministry of Finance. The following is a brief description of the institutional arrangements:

#### The Presidency

The Presidency is responsible for the sustainability of the policies of government. It has various entities, including a high commissioner and three advisors on various sectors. The Presidencia Social (Presidential Advisor on Social Policy) focuses on poverty, inclusion and reconciliation and it has designed programmes targeting people leaving in extreme poverty, displaced population, and strategic territories. The Presidential Advisor for Good Government is responsible for, amongst others, reporting to the President against a few priority indicators

using the dashboard/robot system. The system has a rating system for Departments consisting of green (good performance), yellow (warning signal) and red (poor performance). It provides for a section for comments from Departments and information generated through this system is considered during the development of policies and decrees.

Since 2002, the President's Office has played a central role in the SINERGIA's institutionalization process, and is one of the main factors contributing to the system's success. The President's Office easily convenes the highest-level officials for internal performance reviews—something DEPP/DNP cannot do on its own. The President periodically meets with ministers and directors to carry out high-level oversight of their performance, based on information from SINERGIA and the ministries, among other sources. Such high-level validation of the performance information helps to increase its use in government decision-making processes, and simplifies coordination at the technical level.

### **Department of National Planning (DNP)**

The NDP is responsible for M&E in Colombia, as well as planning and the capital investment budget (while the recurrent budget is the responsibility of Finance). SINERGIA (the National Results-based Management and Evaluation System) is institutionally placed within DNP and helps national government to develop better capacity to achieve public policy goals. It provides technical support to the ministries/departments in terms of the design and management of M&E, monitoring the performance of the policies in terms of outputs, outcomes and impacts and providing technical support and co-financing evaluations. The DNP also advises the President and CONPES in determining what programmes to fund.

DNP has 9 directorates, each in charge of a sector. These directorates work with line ministries on policy decisions, monitoring and evaluation thereof and take decisions on capital budget allocation for policies. Amongst the 9 directorates, three are responsible for transversal functions, namely, the M&E, the Capital Budgeting, and the Economic Forecasting. The other six Directorates have a sectorial focus.

The key outputs of the Department are the National Development Plan and the Investment Plan. It also works closely with the approval entities and prepares their documents. Such entities include the National Council for Economic and Social Policy, the National Council for Fiscal Policy and the National Congress.

So SINERGIA's roles in Monitoring and Evaluation are undertaken by four components:

#### **(1) Monitoring of the National Development Plan – SISMEG**

The monitoring component, SISMEG, is based on the objectives of the National Development Plan (NDP). Monthly and quarterly reports are produced to support the management system of the Presidency of the Republic of Colombia. Finally, the scheme is supported by an online performance-tracking platform (SISMEG Online) which is updated monthly and is available to the general public on the internet. SISMEG is technically managed by one coordinator, eight sector specialists, and six members of the IT team. SISMEG could be considered to be similar to the Presidency's "Programme of Action" and its reports on Delivery Agreements.

#### **(2) Evaluation of Public Policies and Programmes – SISDEVAL**

The evaluation component, SISDEVAL, develops the concept of "effective evaluations" which aims to ensure that their findings and recommendations reach public policy decision-making and improvement. The evaluations are led by SISDEVAL and executed by specialized external contractors to maintain objectivity. SISDEVAL is technically managed by one coordinator and nine sector specialists.

#### **(3) Public Policy M&E Network**

The 'Colombian Public Policy M&E Network' is the component that aims at turning more visible and improving the decisions made by public officials. Likewise, it seeks

to promote cooperation among sub-national governments and civil society around M&E, through online and physical activities. This M&E Network is managed by one coordinator and two analysts.

#### **(4) Research and Knowledge Transfer**

This component develops M&E methodological guidelines, provides training to civil servants in best M&E practices, and develops publications about M&E, public policy issues, and information of interest to public officials, academics and the public at large. This component has one coordinator and three analysts.

The DNP's Public Policy Evaluation Directorate (DEPP) is the coordination agency at the national level. This unit was created in 1992 to be the secretariat and to be responsible for the design and implementation of SINERGIA, on behalf of DNP. During the last few years SINERGIA has helped establish a culture of reporting and managing for results in National Government; launched a new version of the online performance-tracking platform of the National Development Plan; completed 52 evaluations of public policies and programs; expanded the National Public Policy M&E Network to 464 members; and trained more than 500 civil servants in M&E good case practices.

#### **Ministry of Finance (MoF)**

The Ministry of Finance (MoF) is responsible for the effective and efficient use of financial resources in the Country. The Ministry does not deal with the outcomes and impact of policies, since this role belongs to the Department of National Planning. Within the MoF there is a sectoral committee which works closely with the DNP to oversee the overall budget. The MoF, however, stated that it is not yet committed to results-based budgeting.

Planning and budgeting are intricately linked through the National (Capital) Investment Plan, which becomes part of the budgeting process and enforceable through the passing of the Appropriation Law. The Annual Operating Investment Plan and the National Development Plan are informed by a Medium-Term Fiscal Framework, through which the government plans its investments for the next 10 years. The budgeting cycle is linked to the term of office of the President and commences with his/her election.

#### **Central ministries - Ministry for Social Protection**

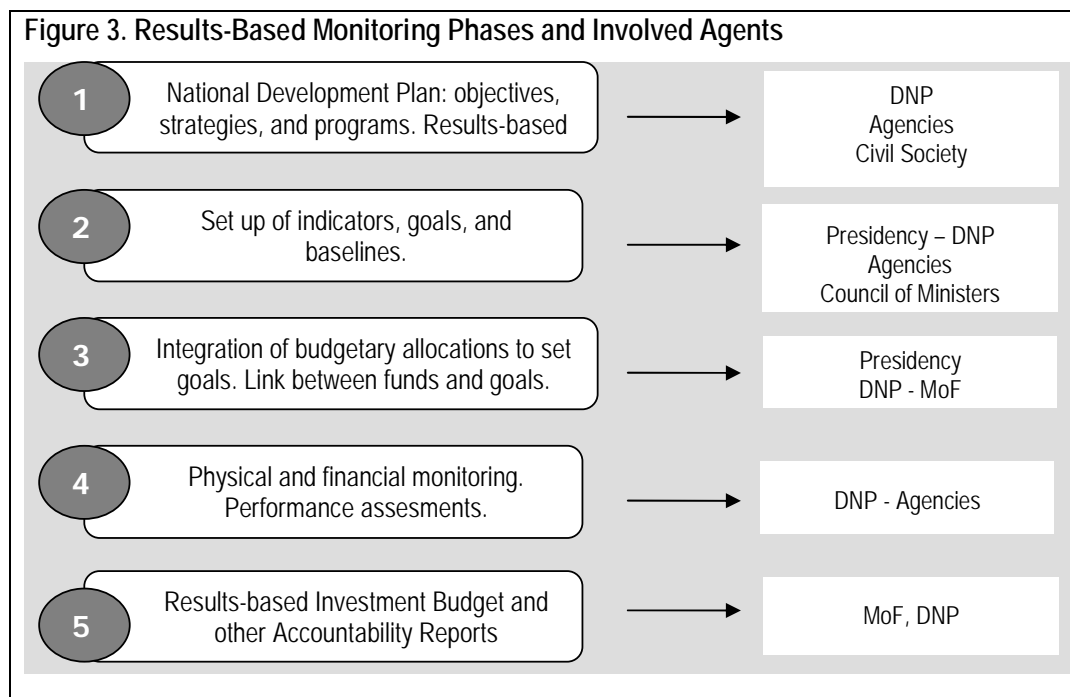
The Social Protection Ministry was established as a result of the merger between the Ministry of Labour and Health Ministries in 2002. However, the merger did not necessarily yield the expected outcomes, consequently it is currently in the process of being split into two Ministries, namely, Health and Labour again. The Ministry is responsible for employment aspects, health, pension, risk and provision of subsidies for the poor and unemployed. It has formed partnership with the private sector such as insurance industry, doctors and private hospitals.

#### **Central Ministries—example The Department of National Education (SEP)**

Education in Colombia is administered by the national Ministry and the 32 regional departments, 44 certified municipalities, and 4 districts. There are 5 842 educational institutions, 8 239 educational centres and 291 398 teachers and 23 396 administrators. Initial education is 3 years; followed by elementary (5th grade with an exam); followed by secondary education (state exam 9th grade) 11th grade (technical) and higher education (technological and university) and lastly the postgraduate programmes. In terms of monitoring and evaluation, the National Evaluation System Art. 80, 115 Law of 1994, makes it mandatory to monitor the education system.

The institutional framework for M&E also provided that planning units at the different levels of government would lead regular M&E activities.

Figure 3 below from Castro (2008) shows the different phases and agencies involved in monitoring.



### 3.2.3 Roles of states

After a century of political centralization, a decentralization trend took root in Colombia, which was later reinforced by the 1991 constitutional reforms. Sub-national governments (departments and municipalities) were made responsible for the planning and management of social and economic development in their jurisdictions. Administrative and political reforms were accompanied by fiscal decentralization, including the transfer of central government revenues. Departments and municipalities are now responsible for public health, education, water supply, and sanitation expenditures through earmarked transfers.

State plans, the budgetary period covered and the administrative units responsible for planning, budgeting and M&E follow processes that are similar to that at the national level. States have some autonomy and have their own development plans which are supposed to be linked to national plans. States also contribute to decision-making processes on the development of sector plans.

The central government has developed a network at sub-national level to share lessons and good practice on M&E.

### 3.2.4 Roles of local government

Local governments have much authority. They can produce plans that have little to do with national goals. This is puzzling, since the 1991 constitution deals with the matter of planning at all levels of the system. National governments try to overcome the problem by signing contract plans with local government where there are overlaps, or regional development plans linked to conditional grants. However this depends on the goodwill of local authorities.

### 3.2.6 What works well and less well

#### What appears to work well

- The strong political role of the Presidency and politicians in the institutionalisation of M&E;
- The links between planning to (capital) budgeting and M&E;
- Strong enabling legislation and regulatory frameworks for planning and performance monitoring and evaluation;
- The importance of having a central department (such as DNP) acting as a champion, using M&E as a pillar. DNP has a lot of authority over the whole system and sets the tone –building confidence takes time;
- Clear definition of institutional arrangements – avoidance of overlaps, especially amongst transversal departments;
- Sectoral programmes linked to the NDP;
- The political leadership seem to be on top of the detail;
- Standardisation of programmes using the logframe and rules of operation;
- Role of DEPP/SINERGIA in supporting evaluations by sector ministries;
- Good routines for providing information on results at different levels of the system. This information is linked closely to planning objectives and targets.
- Role of the Presidency in promoting change;
- More emphasis on monitoring than we saw in Mexico
- Have used technical support from World Bank, Inter American Development Bank and OECD effectively;
- Very conscious of the need for communicating results (what they refer to as socialising);
- Quarterly meetings of the President with each minister on their key outcomes.
- Doing a lot with a small number of people.

#### What works less well

- Capital and recurrent budgets are not integrated and planned by different departments.

### 3.3 The system of evaluation in Colombia

#### 3.3.1 How evaluation is understood

An interesting phrase used by SINERGIA was “Monitoring determines what to evaluate and evaluation emphasizes what to monitor”. Monitoring is viewed as a permanent function, while evaluation is seen to be periodic.

A big difference between Mexico and Colombia is that Colombia promotes self-evaluation much more. However, the instrumental and methodological changes introduced in the second stage of SINERGIA (2002–2006) sought to provide answers for different problems, although they were not necessarily successful in all cases. The starting point was the change from a self-evaluation approach to one of external evaluations, performed or contracted out by SINERGIA/DEPP. To this was added the explicit differentiation, both conceptually and operationally, of monitoring, evaluation, and accountability activities. This differentiation gave rise to the current components of the system.

### 3.3.2 Types of evaluations used and experiences of applying these

Table 2 shows the set of evaluations used by DNP. In practice they find that most evaluations cannot be undertaken using only one type of evaluation and they often use a combination.

An example of the thorough impact evaluations being conducted was that of the Ministry of Social Protection on its programme of support to public hospitals. Three stages of evaluations are conducted, namely, baseline, mid-term and impact evaluations in order to assess whether objectives and goals of evaluations are achieved various periods. Panel sampling is done for purposes of tracking and follow-up. One of the challenges experiences is the dilution of the treatment groups by new hospitals that had to be incorporated in the sample. A baseline evaluation of Early Childhood and Employment was being conducted at the time of the visit. Impact evaluations are particularly encouraged at state level since they cost far less than national impact evaluations.

**Table 2: Types of evaluation (from Castro, 2008)**

Type of Evaluation	Measurement Object and Characteristics
<i>Initial 1994–2001</i>	
Operational or Process	Analysis of activities, goals, administrative processes; use of necessary resources for achieving the proposed objectives.
Results	Appraisal of whether the objectives of the National Development Plan have been achieved in terms of products and outcome indicators.
<i>Additional 2002–2006</i>	
Impact	Causality analysis to determine effects of a program on beneficiaries (expected or unexpected, direct or indirect).
Cost - Benefit	Comparison of social and economic variables to establish monetary values of whether, and to what extent, benefits are greater than costs.
Productivity	Assessment of inputs and outcomes to identify the extent to which institutional redesign changes the productivity of an agency.
Executive	Standardized, rapid (3-month) analysis of design, operational, institutional, and financial structure and M&E information.

Source: SINERGIA.

There are also standard assessments as a form of evaluation eg in Education the external evaluation applied to 5th and 9th graders (SABER). The SABER Assessment for 11th Grade test is very important because it determines whether the students will qualify for higher education or not.

### 3.3.3 Management of evaluations

The decision on the evaluations that should be prioritised for the year in line with the National Development Plan is taken by a special high-level committee consisting of Ministers and other key role players. The selection criteria include the country's top priorities namely, employment, poverty, national security and citizen's security.

Once a decision has been taken, DNP provides technical support to the ministries in terms of the design and management of the evaluations, including sometimes the co-financing of evaluations. DNP has team of 9 professional people responsible for this function. The DNP considers each evaluation unique, therefore, it does not have standard terms of reference (TORs). This is based on the experience that public servants tend to copy the TORs without knowing the real purpose.

Whilst Departments outsource evaluations to external firms to ensure that they are credible, objective and independent, e.g. the two impact evaluations commissioned by the Social

Protection Ministry (hospital and vaccination) which were conducted by public universities, the design of the evaluations and the terms of reference were undertaken by Departments with the assistance of the DNP. Their role is to conceptualise the evaluation, identify problems, decide on the required information, the general approach, the hypothesis that needs to be addressed and the high level questions they want to ask and the general methodological approach.

In terms of funding, DNP or the ministry funds evaluations, or loans are secured from World Bank. For example, the Ministry of Social Protection has received a loan of US\$1.5 million from World Bank to create an M&E system of the social security sector.

### **3.3.4 Capacity in government to manage or undertake evaluations and ensure quality**

The country has embarked on a big drive on capacity building and reform of the public institutions. In general, M&E units in ministries consist of a few staff responsible for designing evaluations and managing the consultants. The actual implementation is outsourced to external firms or universities and capacity is being upscaled, eg of evaluators.

### **3.3.5 Follow-up of evaluation across government, and sharing of lessons**

Evaluation is used both as an accountability tool, and also for performance improvement (however, there is a need to distinguish between these two roles. Overall, ministries generally comply during evaluations and they implement results accordingly. Evaluations are seen as powerful tools and the approach used can be negative or positive. DNP prefers to use a positive approach, which includes involving ministries in the evaluation process to ensure commitment and buy-in. Based on the results of the evaluations, ministries/entities are requested to prepare an improvement plan which is monitored by the DNP. In Education, evaluations have been used to identify student strengths and weaknesses, strengthening and re-orienting education practice and to develop and support regional improvement plans.

In order to ensure widespread awareness of the findings, ministries prepare a dissemination process for wider public availability (called socialisation). This includes publication of results in Departmental websites, sharing them with key stakeholders and media coverage. The law on NDP now has added articles on implementation of results and a decree is being designed that gives government more power to ensure the implementation of results.

### **3.3.6 Incentive systems for ensuring that the lessons of M&E and specifically evaluations are implemented**

The country does not yet have stipulated incentive systems for implementation of recommendations. However, benefits of implementing recommendations were cited. One of such benefits cited by the Ministry of Social Protection was the expansion of the health programme based on the recommendations of the evaluation. In addition, the findings were also used to improve efficiency in hospitals.

The uptake of recommendations is further facilitated by strong support from both politicians and the public. Colombia is using a participatory approach to evaluations by involving beneficiaries and stakeholders in the evaluation process. The results are "socialised"/ made public and improvement plans are prepared. Compliance by Departments is monitored.



## 4 US Government roles in PM&E

### 4.1 Structure of the state

The US has a **federal** system with 50 states. Each state has its own written constitution, government and code of laws. The day-to-day enforcement and administration of federal laws is in the hands of the various federal executive departments, created by Congress. The heads of the 15 departments, chosen by the President and approved with the "advice and consent" of the U.S. Senate, form a council of advisers generally known as the President's "Cabinet". The President appoints the ministers (Secretary) but Congress has to approve the budget. Congress has an oversight role to prevent waste and fraud, protect civil liberties and individual rights, ensure executive compliance with the law, gather information for making laws and educating the public, and evaluate executive performance. It applies to cabinet departments, executive agencies, regulatory commissions and the presidency. Some Congressmen have been in Congress for a long time, eg as chairs of committees and so have strong power. Power is distributed between Congress and President.

**State governments** tend to have the greatest influence over most Americans' daily lives. The Constitution prohibits the federal government from exercising any power not delegated to it by the States and states handle the majority of issues most relevant to individuals. There are sometimes great differences in law and procedure between individual states, concerning issues such as property, crime, health and education. Because state governments lack the power to print currency, they must raise revenue either through taxes or bonds. As a result, state governments tend to impose severe budget cuts at any time the economy is faltering, which are strongly felt by the public for which they are responsible (Wikipedia).

**Local government** differs by state, typically with at least two separate tiers: counties and municipalities, or in some cases townships. In a few states, there is only one level of local government. There are also often local or regional special districts that exist for specific purposes, such as to provide fire protection, sewer service, transit service or to manage water resources. In many states, school districts manage the schools. Such special purpose districts often encompass areas in multiple municipalities. These structures make laws that affect their particular areas such as traffic, the sale of alcohol and the keeping of animals.

**Indian tribes** are considered "domestic dependent nations" that operate as sovereign governments subject to federal authority but, generally and where possible, outside of the influence of state governments. Tribal capacity to operate robust governments varies, from a simple council used to manage all aspects of tribal affairs, to large and complex bureaucracies with several branches of government. Tribes are empowered to form their own governments, with power resting in elected tribal councils, elected tribal chairpersons, or religiously appointed leaders (as is the case with pueblos). Tribal citizenship (and voting rights) is generally restricted to individuals of native descent, but tribes are free to set whatever membership requirements they wish.

### 4.2 The US's Planning, Budget and PM&E system

#### 4.2.1 Roles of key players at national level

In addition to 15 federal departments, there are a number of staff organizations grouped into the Executive Office of the President. These include the White House staff, the National Security Council, and the Office of Management and Budget, amongst others. The **Office for Management and Budget (OMB)** is similar to a Finance Ministry, oversees the budget for individual agencies and programmes, including both capital and recurrent budgets. There are 200 analysts in a group of 450, also covering information issues, regulatory review. Analysts usually have a public policy or social science background, analytical skills. Staff are

organised by Cabinet department with 6-10 analysts who oversee that department and help the President to develop the budget. They negotiate backwards and forwards over the budget and then send a budget request to Congress. Then OMB also advises the President on how to deal with Congress over the budget.

The **Treasury** deals with big fiscal policy questions, manages federal finances, collects taxes and duties and money, manages the public debt, advises on macroeconomic policy and publishes statistical reports.

The **Government Accountability Office (GAO)** was formerly the General Accounting Office and is an arm of Congress. GAO has long encouraged evaluation. They are responsible for auditing everything the federal government does. Only 15% of their work is financial audit, with most of their work performance evaluation. They have a staff of 2500 in Washington and 12000 in field offices. Most staff have masters degrees in public policy or admin and are not sophisticated methodologically. The Comptroller General is appointed for 15 years, and the current one has been here for his whole career, providing considerable stability. Staff are organised in 14 teams, covering the offices of government. There are 4 cross-cutting teams, including one doing the consolidated financial statements of government, an IT team, and one on applied research and methods. Their primary role is providing technical support to other teams. They have a Centre for Evaluation and Methods. They have around 30 PhDs who can help on methodology. They contract out some of the financial management work, or for specific expertise, but otherwise do the work in-house. They are so particular about detail that they found it better to do in-house, except on cost-estimating where they have a contractor. The agencies primarily do their evaluations through contracts. GAO does around 150 surveys a year, they produce 1000 reports per year, and around 250 testimonies to federal committees.

Each **government agency** has an Inspector General to perform internal audit, and around half of these have an evaluation function. In some cases evaluation is in the strategic planning office, in some cases in budget. Performance measurement is usually in finance.

**Congress** is key, as it has to approve budgets. As at present, where President and the Congress majority are from different parties, this can lead to deadlock. Many members of the house seem to vote in a very individualistic way and satisfying special interests are key in mobilising votes.

#### 4.2.2 Legal basis and evolution of the planning, budget and PM&E system

Evaluations started in the 1960s after the programmes launched by President Johnson to bring people out of poverty (War on Poverty). For example it was the results of evaluations which led to the integration of schooling. The 1970s was a big period of evaluations of social programmes, as successor governments wished to see the value of these programmes. When President Reagan came to office he made decisions on ideological grounds, and evaluation capacity fell away.

Prior to 1993 the US had little law in relation to programme planning and budget, and performance assessment. The Government Performance and Results Act of 1993 (GPRA) required strategic plans and annual performance reports, as well as indicators. However this became a compliance exercise and these plans were not closely tied to programmes, and there was no requirement for them to be used. There was an effort by the Obama administration to encourage people with similar interests in congress to update, and tie more to agency programme plans and performance assessment. It remains to be seen whether this will be successful.

After the GPRA departments didn't do anything for 5 years. OMB gave no guidance for strategic planning or performance management. GAO reviewed the first of these strategic

plans and guidance from GAO was then used by the agencies. Law and background legislation is S20 and put great detail.

In July of 2002, the Director of the Office of Management and Budget (OMB) announced development of a tool for formally evaluating the effectiveness of federal programs, called the Program Assessment Rating Tool (PART). He described the PART's purposes as follows:

"The program assessment effort presents an opportunity to inform and improve agency GPRA plans and reports, and establish a meaningful systematic link between GPRA and the budget process." PART assessed every federal programme and encouraged regular, rigorous, independent high quality evaluations. However OMB had a capacity problem to implement this across all programmes. There was way too much work and they couldn't afford it. Differed from Congress on how they saw goals and objectives.

Efforts to provide central direction have been only recent. There are now stronger pressures for transparency and accountability and control of public spending. For example there are recent articles by analysts arguing for stronger evaluations so know what to cut and expand.

President Obama wants to create a culture of evaluation. In October 2009 OMB announced that the 2011 budget process would:

- Put information about all federal evaluations online;
- Create working groups to promote stronger evaluation;
- Centrally allocate some funding for agency initiatives.

At the end of 2010 Congress passed the Government Performance and Results Modernization Act. The GPRA Modernisation Act aims to encourage greater use of performance information by encouraging agencies to:

- Demonstrate leadership commitment;
- Align individual, programmes and agency goals;
- Improve the usefulness of performance information;
- Build analytical capacity to analyse and use performance information;
- Communicate performance information frequently and effectively.

The Act is very specific about a range of issues on performance management, eg a new requirement that agencies have quarterly meetings chaired by a senior officer (usually COO) to review performance of programmes.

The previous head of OMB invited agencies to submit evaluation proposals, created a committee of staff from OMB and others to review proposals and improve them, and centrally funded a number of studies, including building the capacity of agencies. He left and the focus diminished.

## **Planning**

A major weakness is that there is no requirement for a government-wide plan. The view has been taken that the President's budget is the plan. The law required that stakeholders and Congress be involved, but this has been ignored. The GPRA Modernisation Act is specific about promoting priority goals.

Programme planning is often not good, as to get a programmes through many constituents and goals have to be satisfied, and so they are often not very specific. Often programme money is "free money" where state money tends to be tied up in salaries. So federal departments have some leverage and are trying to impose some standards.

Programmes are not necessarily well defined. With GPRA there is at least an attempt to define goals and objectives and the modernization act helps. Part of the problem is that the

focus is agency by agency. So cross-cutting agencies can report to multiple committees and there is a reluctance in congress to rationalise these (there are over 200). For example the Department of Homeland Security reports to 85 committees. Committees of Congress can be very parochial.

As the Obama administration came in the President wanted focus with a few high priority goals. The GPRA Modernisation Act underlines and asks for cross-cutting goals. Agencies are supposed to designate a lead person and have quarterly performance reports. All departments have set 1-9 high priority goals. The requirement was that there should be no new money or legislation and they could be accomplished in a short space of time. With those constraints, big problems don't get addressed. The goals proposed and those the President indicated don't necessarily match. The guidance was sent out before the Cabinet Secretaries were in place. So the proposals submitted were mixed, some worthy, some less so. But there without approved secretaries there was no substantive head to negotiate with, which led to quality problems.

## **M&E**

In terms of monitoring there is a lot of playing with numbers in the performance measurement of these programmes, and lot of criticism of this target-driven approach. For example the Education Department collects data on well over a thousand indicators, much of which is not used. The national department has imposing stringent reporting requirements on school boards, but don't necessarily apply these to themselves. Other departments often don't set performance requirements. In general they are not analysing data to see if the policies they are imposing have the desired effect or not. The research and development section in the Department of Education is independent, so the Secretary can't control what studies will be done, or when, so these are rarely useful for policy purposes.

### **4.2.3 Coordination around PM&E**

President's Bush and Obama have tried to impose some standards eg in the No Children Left Behind programme.

## **4.3 Evaluation**

OMB's guidance contains this description of the PART:

"The Program Assessment Rating Tool (PART) is a diagnostic tool used to assess the performance of Federal programs and to drive improvements in program performance. Once completed, PART reviews help inform budget decisions and identify actions to improve results. Agencies are held accountable for implementing PART follow-up actions, also known as improvement plans, for each of their programs. The PART is designed to provide a consistent approach to assessing and rating programs across the Federal government. PART assessments review overall program effectiveness, from how well a program is designed to how well it is implemented and what results it achieves."

The Department of State and USAID created their own evaluation policy, using the roadmap by the American Evaluation Association – eg requiring all evaluations to be evaluated over time. Closest to that was PART. But PART are not evaluations, rather broad reviews of existing evidence (similar to executive evaluations). They do sometimes do ex-ante or prospective evaluations, tied to results of similar ones.

They see 3 roles - oversight, insight (to explain), and foresight, where they are proactive eg some work they have done on geo-engineering technologies. That they did themselves – do have that authority.

In terms of capacity – OMB created a budget of \$100million for agencies to bid for evaluations – which could help to build capacity. In 1970s there was a legislative mandate of 2% set aside for evaluation within those programmes.

However there are a lot of disincentives for managers to allocate resources to evaluation. So OMB give presentations on how programme evaluation is useful.

They are using programme evaluations to supplement PART – once they are doing these basic stuff can use evaluation for more difficult issues, or to explain why.

In terms of evaluation, GAO currently operates under a legal mandate to look at all programmes over a 3 year period but for a limited mandate around overlap and duplication. When they write a report, it is sent to the agency, and an opportunity is provided for them to comment. In their own strategic plan they put a lot of effort into identifying the bigger programmes and paying attention to these. Most requests from committees are ad-hoc, and often short-notice. They try and anticipate these, but occasionally things will come in that they don't expect. Now they have far more requests than they can implement, especially since they have just had a 2% budget cut. Now if a request comes in and it is not in their executive mandate and law, they put it into a queue and it takes 3-6 month to start it.

In terms of follow-up, GAO doesn't have the authority to enforce, but they are tracking implementation and around 85% of recommendations are adopted. A lot of thought and effort has been put in in the last 20 years in crafting recommendations that are practical and affordable. GAO works for Congress and committees asks them to look at specific issue which they are interested in. The results are often persuasive in their own right. They don't make policy recommendations. For example they wouldn't evaluate whether a programme is the right programme, or whether a policy is right, or whether a programme is right for the policy. Canadian Treasury Board even further restrained.

GAO designs the methodology on the spot. They are thinking about whether they can standardize this.

#### **4.1.6 What works well and less well and why**

##### **What appears to work well**

- The GAO has the capacity to undertake a large number of evaluations, in response to demand from the legislature;
- There is now a good legal basis with the GPRA Modernisation Act;
- The level of follow-up from GAO evaluations is high, building essentially on the quality of the work, and the efforts to ensure recommendations are practical and persuasive.

##### **What works less well**

- The split in powers between President and Congress seems to lead to many difficulties;
- There is clearly a significant gap between legislation and implementation, eg the first GPRA took 5 years to be implemented widely;
- Strategic plans, annual performance reports, and indicators are produced mainly for compliance and not closely tied to programmes;
- There is no common language around RBM;
- Programmes are often poorly designed, with Congress adding elements to the design making designs inelegant;
- Use of evaluations by departments seems to be very limited – with disincentives to allocate resources to evaluations, and often no data;
- There appears to be little ex-ante evaluation to inform policy;
- National departments require collection of data on hundreds of indicators, and this data is often not analysed.

## 5 World Bank roles

### 5.1 World Bank structures dealing with PM&E

The World Bank has different components relevant to PM&E:

- The Independent Evaluation Group, whose main role is evaluation of World Bank Programmes, but also has a role in documenting and building capacity of World Bank partners around M&E;
- Sectoral departments focusing on M&E, notably PREM and also those dealing with Public Sector Reform. The latter are stronger on the linkages between planning, budget and M&E;
- The M&E function carried out by the corporate section of Africa Region, as part of the Development Effectiveness Group.

The team met all these three components, who presented on their experiences and the lessons emerging.

### 5.2 Comparative experiences and lessons

What is clear is that the design of the M&E system (and by extension, planning and budget), is dependent on the characteristics of each country, including:

- Institutional setting eg whether decentralised, a strong planning ministry and/or finance, and capacities in line ministries;
- Political concerns eg corruption, government's credibility, accountability etc;
- Models of governance and emphasis on independence versus engagement;
- Opportunities that emerge;
- Available technical capacities.

Some lessons include:

- Centralisation requires the right institutional structure – a centralised M&E design in a fragmented public sector will fail;
- In a system with multiple stakeholders delegation to an impartial agency might be a viable option – but beware of over-engineering and objective overload;
- Who gains and who has to worry about buying-in to a M&E system – the senior civil service, the legislature, ministries, service delivery units, the finance ministry, the head of government;
- Staying in control of overall steering and quality of outputs does not equal having to internalise all aspects of M&E implementation – strategic delegation might be smart for buy-in and workload;
- Is it possible to imagine a long-term sustainable, well-utilised M&E system that doesn't have a stable link to budgetary decisions.

More time was needed to unpack this and it was suggested to have a videoconference on this including people dealing with public sector reform.

### 5.3 World Bank support around PM&E

The Bank has used a variety of instruments to support M&E work including fees for services, and various loan instruments. In South Africa's case there is a reluctance to use loans. DPME is interested in accessing World Bank support and a number of links were discussed:

- World Bank is already supporting DRDLR on developing a logframe for their delivery agreement and providing training. DPME welcomes this, but as a difficult example this may not be a pilot for wider application;
- DPME is getting support from DFID including the development of an overall framework for donor support. It is now clear that this should take account of the integrated picture that DPME has developed from this study tour, and it would be very helpful if there could be Bank input into the first phase of this mission to ensure that this broader picture is developed for DPME. In addition some specific inputs to Treasury would also be useful. The Bank indicated that this would be possible;
- This overall framework will be tabled at a donor forum in October, to see where donors could assist. World Bank staff would be invited to attend;
- UNDP is hosting an international workshop on M&E the second week of September. Having a number of international experts in M&E present in SA provides an opportunity to use these to support our process;
- DPME is organising an African M&E workshop 16-18 November, which again World Bank staff would be welcome to attend.

## 6 Lessons emerging for South Africa

### 6.1 An integrated Planning, Budgeting and PM&E system

1. Both Mexico and Colombia highlight the significance of an **integrated approach to planning, budgeting and M&E**;
2. A professional M&E system has to emerge from changes in the rules of the game (institutions) plus proper technical and planning methods:
  - **Institutional** – we need to set a clear monitoring and evaluation mandate, create an evaluation unit, ensure there are feedback procedures for policy improvements, appropriate norms about transparency;
  - **Technical** – the appropriate methodology for measuring impacts and **trained evaluators** are important;
  - **Planning** – it is essential to improve planning within programmes and ministries using a logframe, and produce good indicators. It is important to understand the logic behind the programme.
3. We need to see this with a **long-term** time horizon as part of improving the effectiveness of government, and **innovate** and pilot methods as we go;
4. A specific gap in SA is around planning and the need to formalise and set minimum quality standards for the long-term plan and vision, national and provincial development plans linked to the electoral cycle, and plans for outcomes, sectors and cross-cutting programmes;
5. There is also a challenge around **policy coherence**, and there is no structure to ensure this;
6. There should be a clear mandate and lines of responsibility in the various structures, e.g, Treasury, Presidency, NPC, DPSA related to monitoring and evaluation to avoid duplication.
7. Core to this integration is an effective **programme budget structure**, linked to plans based on a good logic model (logical framework), standardised indicators, and rules of operation. This will require a formal review of the strategic planning guidelines – and we can link this with the dialogue already started with Treasury;
8. We should apply this to a focused number of programmes to start with (eg outcomes, where the outputs are probably programme level) and **focus on those areas which are large/important**;

#### Legal basis

9. South Africa needs enabling legislation and regulatory frameworks for this integrated planning, budgeting and performance monitoring and evaluation. DPME also needs a legal basis for our work.

#### Roles and coordination of key players at national level in the Planning, Budgeting and PM&E system

10. Both Mexico and Colombia show the strong political role of the Presidency and politicians in the institutionalisation of M&E. In Colombia the High Advisors are additional management capacity of the President and report to the President directly and have been driving reform. DPME needs a hands-on political champion;
11. The equivalents of DPME in Colombia and Mexico are small but very effective units. A key lesson from the study tour was that it is not necessary to have a large “DPME” unit to be effective. There is clearly room for improving staff utilisation and effectiveness of staff within DPME.
12. In Colombia there are quarterly meetings of the President with each Minister around the priority programmes – we started this around outcomes but it needs to continue;
13. It is important to work with the Parliamentary portfolio committees as key oversight structures in government. We can share the experience from Mexico, Colombia and the US with Parliament and also the ANC M&E structure being developed;



14. It is essential to have a central department (as DNP in Colombia) acting as a **champion** for M&E. In South Africa, DPME is performing that role. As well as a legal mandate, DPME needs to be respected. It has respect around the outcomes, but we need to develop this more broadly on the government-wide M&E system (GWM&ES). DPME needs to be seen to have the technical skills to add value, and the budget to help influence (eg could be a budget for evaluations to co-fund with departments);
15. There is a need for a coordination structure to link NPC, DPME, Treasury, DPSA and other transversal departments. While at some point a formal structure is needed, due to the sensitivity, in the short-term such structures can be developed around specific topics such as evaluation and capacity development;
16. To ensure impacts on implementation we need to have effective M&E at **subnational** levels. We could see the problems in Mexico, Colombia and the US where this was not happening effectively. This means working closely with Offices of the Premier.

## 6.2 Monitoring

17. We have done a lot of work on monitoring around the outcomes. The challenge we saw particularly in Mexico, as in SA, is of **too many indicators** – we should do an overall report for the outcomes every quarter using a limited range of indicators (a dashboard of strategic indicators);
18. We need **persistence and discipline** to continue with the routine of monitoring, gradually building the credibility and quality of the system. We also need the discipline to keep focusing on the priority outcomes and key strategic drivers.

## 6.3 The evaluation system

### Approach to evaluation

19. There is not much discourse or debate in SA on approaches to M&E, while there has been on planning – and we need to stimulate this using a variety of fora including SAMEA, M&E Forum, M&E Learning Network. We also need to promote a debate amongst transversal departments of how to improve the effectiveness of government (it has already been agreed with Treasury to do this) and the role of M&E within this.
20. There can be a tension between two potential objectives of the evaluations – to improve performance and to improve accountability – a big focus in Mexico was accountability, in SA's case the emphasis would be to **improve performance**;
21. To ensure the **credibility of evaluation**, one needs to show the independence of evaluation. In Mexico this is ensured by the independence of CONEVAL. In SA we can ensure independence of evaluators rather than the structure, and use an independent peer review mechanism for evaluators, and embed external evaluation in an Act. Involving universities in evaluations also assists with ensuring the credibility of the evaluations;
22. Evaluation is not just a technical challenge, but it is important that key stakeholders own the results and take them on board. SINERGIA went through a technical phase where it lost the trust of stakeholders. It is important that DPME plays a **strong facilitator role**, so that departments trust it, and use the results to improve performance, not just for compliance.
23. It is also important that the 'socialisation' of results is done so decision-makers participate and the results are used. Colombia is very conscious around communications – we need to enhance this in South Africa and ensure results are available;

### Types of evaluation

24. Evaluation is central in Mexico and Colombia – and they use **several types of evaluation** – we need to develop a similar suite which are adapted to the South Africa situation including methods we are developing already eg PAT.

### **Managing evaluation (planning, funding, implementation)**

25. We have seen the benefits of **standardised systems** to ensure a minimum level of quality;
26. There needs to be a requirement that all major or important programmes are evaluated on a regular basis, which can be used to develop an **annual evaluation plan**;
27. We need to adopt the principle of a **budget allocation** for evaluation – probably in the range of 2-5% of programme budgets;
28. **Planning for evaluation**, starting with developing a baseline, should happen at the outset of any major programme.
29. Mexico has a useful schedule of evaluations, showing what happens during a programme lifecycle. A similar schedule should be used in SA;

### **The capacity in government to manage or undertake professional evaluations**

30. Expanding the application of evaluation will require greatly increased capacity, both within government, and for independent evaluators. This should be a focus of DPME's work, with dedicated staff, and potentially with a budget to support capacity development around M&E in government;
31. Both SINERGIA and CONEVAL provide central support for M&E. DPME is already providing this for monitoring, particularly around the outcomes. A central capacity is needed to support evaluations in government, both developing policy, systems, and supporting on methodology and quality assurance. A chief directorate on evaluation is suggested to take forward the central support on evaluation.
32. Units are also needed in departments to be informed evaluation clients, possibly in strategy, research or M&E sections. There will need to be widespread capacity development of these units;
33. Use of **standardised guidelines** will help to overcome limited capacity;
34. Both Mexico and Colombia have used **donor support** effectively to enhance the systems and capacity. DPME should use World Bank and other support, including from partner countries, to help develop our systems;
35. To assist with survey data, established surveys should be used where possible, **subsampling** if appropriate (but which would need to be budgeted for);

### **Ensuring follow-up of the lessons of M&E and specifically evaluations**

36. Improvement plans should be developed and their implementation closely monitored. DPME must track progress on implementing recommendations from evaluations. This will ensure that evaluations are used for performance improvement.
37. Departmental managers must be closely involved in the evaluation process, so that they own the process and findings, and are open to applying the lessons for improving performance.
38. Relevant legislation could be considered to so that follow-up of evaluation recommendations is required.

### **Communications implications**

39. Improving the alignment between planning, budgeting, monitoring and evaluation, implies a strong working relationship between government, Parliament, and the public, to enable the former to account at all times, and the latter to play a meaningful role in monitoring the work of government.
40. There is a need to develop a communications and stakeholder strategy for this programme. This strategy should focus on, amongst others:
  - Promoting the legislation pertaining to Planning, Budgeting, Performance Monitoring and Evaluation in the country – to both government and society at large;
  - Promoting the overall programme within government in all three spheres – to ensure political buy-in and will as well as proper application and implementation;
  - Clarifying the roles and responsibilities of different role players across government;
  - Educating all stakeholders about the mechanisms and instruments to be developed to deliver on this programme

- Promoting the accessibility and use of results- and performance-monitoring and evaluation in government.

#### **6.4 Next steps**

41. DPME takes forward with transversal departments discussions on an integrated planning, budget and M&E system.
42. Donor support including from the World Bank is sought to provide technical assistance in developing an effective and quality integrated system. The DFID design mission should help develop the outline of the integrated system, plus some elements on taking evaluation forward. World Bank inputs should be obtained to assure a good picture of this integrated planning, budget and M&E system.
43. DPME moves forward quickly to establish an evaluation unit, with a working group across government.
44. The working group moves to define the national evaluation framework including types of evaluations, standard systems, annual evaluation plan.
45. Funds are raised to pilot some evaluations eg for early childhood development (ECD).

## Annexes

### Annex 1: Programme

Note reflection sessions were held several evenings

Date/meeting	Meetings with	Issues to cover
<b>Sat 25 June</b>		
07.30 10.45	Pick-up Pretoria for airport Leave Johannesburg SA222 Briefing on study tour in Sao Paolo airport	
<b>Sun 26 June</b>		
06.20	Arrive Mexico City Pick up by First Class Travel Go to Maria Cristina Boutique Hotel	Oscar Ibarra CEL: 04455-8546-4496 Hotel: Río Lerma No. 31 Col. Cuauhtémoc, México D.F. Tel: +27 52 55 57 03 12 12 <a href="mailto:contacto@hotelmariacristina.com.mx">contacto@hotelmariacristina.com.mx</a>
<b>Mon 27 June</b>		
10.00 Presidency	<b>Introduction to Mexico and the system of government.</b> <ul style="list-style-type: none"> <li>Mr. Rolando Rodriguez Barceló, Advisor to the Presidency, <a href="mailto:rolando.rodriguez@presidencia.gob.mx">rolando.rodriguez@presidencia.gob.mx</a></li> <li>Assistant.-Yadira Ávila</li> </ul>	<ul style="list-style-type: none"> <li>Role of the Presidency in Mexico's Performance Evaluation System in process of development</li> </ul> <b>Address:</b> "Presidencia Oficial de los Pinos", Puerta 5, Casa Miguel Alemán, segundopiso, Col. San Miguel, Chapultepec, Del. Miguel Hidalgo <b>Tel 5093-5300 Ext. 3363 y 1075</b>
12:00 Ministry of Finance	<b>Performance Evaluation and the Budget. Role in PM&amp;E</b> <ul style="list-style-type: none"> <li>Mr. Benjamin Hill. General Director Performance Evaluation. MoF (SHCP), <a href="mailto:benjamín_hill@hacienda.gob.mx">benjamín_hill@hacienda.gob.mx</a></li> <li>Assistant.-Vanessa Stoehr</li> <li>Agustin Caso Raphael, Unit of Evaluation, in charge of evaluations and follow up of all evaluations in the country by CONEVAL and SFP, <a href="mailto:agustin_caso@hacienda.gob.mx">agustin_caso@hacienda.gob.mx</a></li> <li>Pablo Emilio Ballesteros, <a href="mailto:Emilio_ballesteros@hacienda.gob.mx">Emilio_ballesteros@hacienda.gob.mx</a></li> </ul>	<ul style="list-style-type: none"> <li>The Performance Evaluation System –SED</li> <li>The use of performance information in the budget process</li> <li>The way they ensure value-for-money</li> </ul> <b>Address:</b> SHCP Av. Constituyentes 1001 Edificio C-1 Primer Piso Ala Sur Col. Belén de las Flores Del. Álvaro Obregón <b>Phone:3688-5221</b>
14.00	Lunch	
16.00	Return to Finance	
16:30 Ministry of Finance	<b>Portal of Fiscal Transparency &amp; Data Warehouse</b> <ul style="list-style-type: none"> <li>Mr. Benjamin Hill. General Director Performance Evaluation. MoF (SHCP), <a href="mailto:benjamín_hill@hacienda.gob.mx">benjamín_hill@hacienda.gob.mx</a></li> <li>Agustin Caso Raphael, Unit of Evaluation, in charge of evaluations and follow up of all evaluations in the country by CONEVAL and SFP, <a href="mailto:agustin_caso@hacienda.gob.mx">agustin_caso@hacienda.gob.mx</a></li> <li>Pablo Emilio Ballesteros, <a href="mailto:Emilio_ballesteros@hacienda.gob.mx">Emilio_ballesteros@hacienda.gob.mx</a></li> </ul>	As above
<b>Tues 28 June</b>		
09.30	Depart for Department of Social Development	SEDESOL, Av. Paseo de la Reforma 116, Quinto Piso, Del. Cuauhtémoc <b>Tel:53285000 EXT. 52682 Y 52680</b>

Date/meeting	Meetings with	Issues to cover
10:00 Dept of Social Development	<b>Evaluation of Social Programs in Mexico.</b> <ul style="list-style-type: none"> <li>Mr. Gerardo Franco Parrillat. General Director for Evaluation. Social Development Secretary, <a href="mailto:gerardo.franco@sedesol.gob.mx">gerardo.franco@sedesol.gob.mx</a></li> <li>Assistant.- Ana Luisa Gómez Tagle</li> <li>AdanSilverio Murillo, Director General Adjunto de Evaluaciones de Impacto, <a href="mailto:adan.silverio@sedesol.gob.mx">adan.silverio@sedesol.gob.mx</a></li> </ul>	<ul style="list-style-type: none"> <li>Introduction to key programmes, and evaluations, including of PROGRESA</li> <li>Evaluation agenda</li> </ul>
12:00 Oportunidades	<b>Oportunidades (PROGRESA)</b> <ul style="list-style-type: none"> <li>Mr. Andrés Hijuelos Loperena. Adviser to the National Coordinator. Oportunidades</li> <li><a href="mailto:andres.hijuelos@oportunidades.gob.mx">andres.hijuelos@oportunidades.gob.mx</a></li> </ul>	<ul style="list-style-type: none"> <li>Introduction to PROGRESA and how it has evolved, where they see it going – evidence of its impacts and whether it has created dependency (a concern of many in S Africa)</li> </ul>
14.30	Lunch hosted by SA Ambassador M Mbete	Villa Maria, Homero 704 Colonia Polanco, DF Tel: 5203-0306
Around 16.30	Return to Hotel	
<b>Wednesday 29 June</b>		
10.00	Depart for CONEVAL	CONEVAL, Periferico Sur #160 Entre Ave. AltaVista y Ave Toluca Col. San Ángel Inn, Del. Álvaro Obregón, C.P. 01060, México, D.F. <b>Tel:</b> (55) 5481-7200 Ext. 70002
11:00 CONEVAL	<b>National Evaluation Commission – CONEVAL</b> <ul style="list-style-type: none"> <li>Mr. Gonzalo Hernandez, General Director and Executive Secretary. <a href="mailto:gghernandezl@coneval.gob.mx">gghernandezl@coneval.gob.mx</a></li> <li>Assistant.- Bertha León</li> </ul>	<ul style="list-style-type: none"> <li>Role of CONEVAL, institutionalization, tools, methods</li> <li>Tools and systems applied by CONEVAL</li> <li>Impact of the evaluations</li> </ul>
13:00 CONEVAL	<b>Methodologies and evaluation agenda.</b> <ul style="list-style-type: none"> <li>Mrs.Thania de la Garza Navarrete, General Adjunct Director Evaluation, <a href="mailto:tgarza@coneval.gob.mx">tgarza@coneval.gob.mx</a></li> <li>Assistant.- Martha Torres</li> </ul>	<ul style="list-style-type: none"> <li>PAE</li> <li>Types of evaluations</li> </ul>
14.00	Lunch	
16:00-18.00 CONEVAL	<b>Performance Evaluation in Queretaro</b> <ul style="list-style-type: none"> <li>Elvia Ríos Anaya. Director of Evaluation. Secretary of Planning and Finance, <a href="mailto:erios@queretaro.gob.mx">erios@queretaro.gob.mx</a></li> <li>María del Carmen Emma Sanchez Diaz. Director of Budget. Secretary of Planning and Finance, <a href="mailto:csanchezd@queretaro.gob.mx">csanchezd@queretaro.gob.mx</a></li> </ul>	<ul style="list-style-type: none"> <li>What types of evaluations do they undertake, how, how is this managed</li> <li>How are results applied</li> <li>What impact has this had</li> <li>How do they fit in the PM&amp;E system</li> <li>What role do they play in evaluation</li> </ul>
<b>Thurs 30 June</b>		
09.45	Leave for SEP with bags	Dirección General de Evaluación Dr. Río de la Loza 156, 3er piso Col. Doctores
10.15	SEP <ul style="list-style-type: none"> <li>Ing. Roberto Peña Resendiz, Director de Programas y Estudios Especiales</li> <li>Lic. Carlos Goñi Carmona, Director de Evaluación y Análisis del proceso educativo</li> </ul>	<ul style="list-style-type: none"> <li>How do they fit in the PM&amp;E system</li> <li>What types of evaluations do they undertake, how, how is this managed</li> <li>How are results applied</li> <li>What impact has this had</li> </ul>
11.45	Leave for other SEP building	Unidad de Evaluación de la SEP

Date/meeting	Meetings with	Issues to cover
		Arcos de Belem No. 79. Piso 9 Col. Centro, Del. Cuauhtémoc, México Distrito Federal, C.P. 06010 Tel. 5061-3157
12.30	SEP <ul style="list-style-type: none"> <li>Lic. Juan Manuel Yebale, Unidad de Planeación y Evaluación de Políticas Educativas</li> <li>(Gabriela Mancilla [mailto:gabrielam@sep.gob.mx</li> </ul>	
13.30	Leave for airport. Lunch at airport	
17.00	AM527 –Aeromexico Fly to Merida	
18.45	Arrive Merida. Transfer to Hotel	Piedra del Agua Hotel, Calle 60 498 entre 59 y 61, Centro, Merida Centro 01 999 924 2300
<b>Friday 1 July</b>		
10:00 YUCATÁN	<b>Performance Evaluation in Yucatán</b> <ul style="list-style-type: none"> <li>Lic Martin ChucPerreira, Secretary General of the Department of Congress of the State of Yucatan</li> <li>Mr. Jesus Antonio Paz Pineda. Director of Planning of the Ministry of Planning and Budget. Yucatán, <a href="mailto:antonio.pazp@yucatan.gob.mx">antonio.pazp@yucatan.gob.mx</a></li> <li>Jesus Jordan Perez Marfil, Treasurer, State Congress of Yucatan, <a href="mailto:jjordanpm@hotmail.com">jjordanpm@hotmail.com</a></li> <li>Lic Julio AfonsoOrtegonEspadas, Head of Statistics, Ministry of Planning and Budget, Yucatan, <a href="mailto:Julio.ortegon@yucatan.gob.mx">Julio.ortegon@yucatan.gob.mx</a></li> <li>Assistant.- Julio Ortégón</li> </ul>	<ul style="list-style-type: none"> <li>Their role in PM&amp;E</li> <li>Their systems and capacity</li> <li>What types of evaluations do they undertake, how, how is this managed</li> <li>How are results applied</li> <li>What impact has this had</li> <li>How do they fit in the PM&amp;E system</li> <li>What role do they play in evaluation</li> </ul>
12.00	<b>Performance Audit in Yucatan</b> Omar chan Gomez, Auditor Superior del Estado de Yucatan, Congress of Yucatan	14:00
16:00	<b>State Audit</b> <ul style="list-style-type: none"> <li>Mr. Jesús Antonio Paz Pineda. Director of Planning of the Ministry of Planning and Budget. Yucatán, <a href="mailto:antonio.pazp@yucatan.gob.mx">antonio.pazp@yucatan.gob.mx</a></li> <li>Assistant.- Julio Ortégón</li> </ul>	
<b>Sat 2 July</b>		
Tourism	Free day, visit local historical sites (the Yucatan is the area of the Maya)	<ul style="list-style-type: none"> <li></li> </ul>
<b>Sun 3 July</b>		
06.45	Leave for airport	
08.35	AM536 –Aeromexico to Mexico City	
10.25	Arrive Mexico City airport	Lounge?
14.30	AM708 - Aeromexico Fly to Bogota	
18.59	Arrive Bogota. Met by Ambassador Gila. Transfer to Ibis Museo Hotel	Transversal 6 No 27 - 85 Centro Internacional, 11001 - BOGOTA Tel: (+57)1/3814666
<b>Mon 4 July</b>		
09.00 National Planning	<b>The National Results Based Management and Evaluation System – SINERGIA</b> Mr. Diego Dorado, Director Public Policy	<ul style="list-style-type: none"> <li>The SINERGIA systems, technical capacities, organizational structure. Tools</li> </ul>

Date/meeting	Meetings with	Issues to cover
Department (DNP)	Evaluation	and methodologies systems applied, evaluation agenda
12.00	Lunch with Diego Dorado	
14.00-16.00 Hotel	Internal workshop at the hotel	Emerging lessons and key questions for Colombia
17.00	Free time	
<b>Tues 5 July</b>		
07.30	Depart for NPD (walking or pick up by SINERGIA transport)	
08.00 DNP	Dr. Hernando José Gómez, General Director, DNP	National Planning Department (DNP) <ul style="list-style-type: none"> <li>• Role of PM&amp;E in Colombia's National Development Planning</li> </ul>
9.00-10.30 DNP	Mrs. Diana Quintero, Director Public Investment and Finance, NPD	National Planning Department (DNP) <ul style="list-style-type: none"> <li>• Role of M&amp;E in setting the National Investment Budget,</li> </ul>
10.30	Depart for Finance	SINERGIA vehicle
11.00 Finance	Mr. Fernando Jiménez, National Directorate for Public Budget Ministry of Finance	<ul style="list-style-type: none"> <li>• The use of performance information in the budget process current situation and challenges ahead.</li> <li>• How to assess value for money as part of evaluation processes</li> </ul>
12.30-14.00	Lunch	
14.00	Leave for Presidency	SINERGIA vehicle
14.30 Presidency	Paula Duran, Advisor for Dr. María Lorena Gutiérrez, High Presidential Advisor for good government, Presidency	Presidency <ul style="list-style-type: none"> <li>• Role of M&amp;E and performance measurement in public sector reform</li> </ul>
15.30 Presidency	Mrs. Juliana Pungiluppi, Social Policy Advisor (represents Mr. Samuel Azout, High Presidential Advisor for Social Policy), Presidency, <a href="mailto:julianapungiluppi@presidencia.gov.co">julianapungiluppi@presidencia.gov.co</a>	Presidency <ul style="list-style-type: none"> <li>• Role of evaluations in poverty reduction</li> </ul>
16.30 Presidency	Mr. Leon David Montealegre, Head, Office of Social Planning (represents Mr. Diego Molano, Director National Department for Acción Social)	Presidency - Acción Social <ul style="list-style-type: none"> <li>• Role of evaluations in social policy / Impact Evaluation of Colombia's major social programs.</li> </ul>
18.30	Diana Quintero Cuello, Director of Investment and Public Finance, DNP, <a href="mailto:mquintero@dnpp.gov.co">mquintero@dnpp.gov.co</a>	DNP <ul style="list-style-type: none"> <li>• Capital budgeting</li> </ul>
	Dinner	
<b>Wed 6 July</b>		
08.00 Social Protection	Dr. Mauricio Santamaría, Minister for Social Protection	Ministry for Social Protection <ul style="list-style-type: none"> <li>• Role of evaluations in social policy / What types of evaluations do they undertake, how, how are these managed</li> </ul>
09.00	Leave for NPD (SINERGIA transport)	
10.30	Group reflections on Colombia	•
14.30 National Education	Dr. Mauricio Perffeti, Deputy Minister for Education	Ministry for National Education <ul style="list-style-type: none"> <li>• Role of evaluations in education policy / What types of evaluations do they undertake, how, how are these managed</li> <li>• What impact has this had</li> </ul>
16.30	Depart for hotel	SINERGIA vehicle

Date/meeting	Meetings with	Issues to cover
	Dinner with Diego Dorado and Ambassador Fred Jacobsen	

**Washington itinerary**

Sean Phillips, Ian Goldman

<b>Thurs 7 July</b>		
06.21	Depart for Eldorado airport	
09.21	AV286 - Avianca Fly to Washington	
15.36	Arrive Washington Dulles Transfer to Club Quarters Hotel by taxi	Club Quarters - Washington, DC 839 17th Street, NW: (At 17th & I Streets): Washington, DC 20006: Phone: (202) 463-6400: Fax: (202) 463-6401.
20.00 Restaurant	Dinner with Ms. Renosi Mokate, WB Executive Director for Angola, Nigeria and SA.	Founding Farmers' Restaurant, 1924 Pennsylvania Ave. NW Washington, D.C. 20006 Contact: Maureen Serieux, (202) 458- 2118, mserieux@worldbank.org
<b>Friday 8 July</b>		
08.45	Leave hotel	
09.30 IMF HQ2	Independent Evaluation Group: Daniela Gressani Deputy Director General, IEG, WB, <a href="mailto:dgressani@worldbank.org">dgressani@worldbank.org</a>	Location: IMF HQ2, 9B-073 IEG Organization, Functions and Methods Contact: Ximena Hevia y Vaca (202)473-1704, <a href="mailto:xheviayvaca@worldbank.org">xheviayvaca@worldbank.org</a>
11.00-12.30 IMF HQ2	John Pfeiffer, Office of Management and Budget - OMB, Executive Office of the US President	Program Assessment Rating Tool (PART): System and Evolution. Location: IMF HQ2, 9A-372 John Pfeiffer, 202-395-3876, <a href="mailto:jpfeiffer@omb.eop.go">jpfeiffer@omb.eop.go</a>
12.30	Lunch	
15.00 GAO	Government Accountability Office (GAO): Nancy Kingsbury (Managing Director for Applied Research and Methods) + Staff	Organization, Functions and methods Location: 441 G Street NW, Room 6139 <a href="mailto:kingsbury@gao.gov">kingsbury@gao.gov</a>
16.30	End of organized day	
<b>Sat 9 July</b>		
	Day off	
<b>Sun 10 July</b>		
	Day off	
<b>Mon 11 July</b>		
09.15	Leave hotel	Leave bags at hotel
09.45 IMF HQ2	Greeting at IMF HQ2 Building's lobby and escort to IEG Offices Maria Gabriela Padrino and Nidhi Khattri (TDB)	Location: Lobby IMF HQ2 Building - Visitor's entrance in 19 <sup>th</sup> /Pennsylvania Av. (formal address on 1900 Pennsylvania Ave NW) Contact: (202) 458-5783, <a href="mailto:mpadrino@worldbank.org">mpadrino@worldbank.org</a>
10.00-11.30 IMF HQ2	Gladys Lopez Acevedo (Senior Economist, Poverty reduction, Anchor, WB), Philipp Krause (Poverty Reduction Anchor, WB) and Nidhi Khattri (Senior Evaluation Officer, IEG, WB) Irina Astrakhan, SA Country Programme Coordinator, <a href="mailto:iastrakhan@worldbank.org">iastrakhan@worldbank.org</a>	Cross-cutting Analysis of M&E Country Systems Location: IMF HQ2, 9A-372 Contact: Philipp Krause, (202) 458-7461, <a href="mailto:fkrause@worldbank.org">fkrause@worldbank.org</a>
12.30-14.00 World Bank	Lunch with Africa Region Core Operations Services (AFTOS) Edward Olowo Okere, (Director, AFTOS, WB), Preeti Ahuja (Manager, Development	Location: MC Private Dining Room, World Bank Main Complex, Visitors Entrance in 18th between H and G Streets Contact: Marie-Louise Nguza (202)



	Effectiveness), Mohamed Khatouri (Lead M&E Specialist), Andrew Asibey(Senior Monitoring and Evaluation Specialist)	458-1277, mnguza@worldbank.org
14.00	Leave in taxi via hotel for bags and to airport	
17.40	SA208 - South African Airways Fly to Johannesburg	
<b>Tues 12 July</b>		
17.20	Arrive OR Tambo	

**Annex 2:** List of participants in the study tour (some for part)

<b>Name</b>	<b>Job title</b>	<b>Organisation</b>
Ms Dina Pule	Deputy Minister	Deputy Ministry in The Presidency Performance Monitoring & Evaluation
Ms TsakaneMahlale	Media Liaison Officer	Deputy Ministry in The Presidency Performance Monitoring & Evaluation
Dr Sean Philips	Director General	Department of Performance Monitoring and Evaluation in the Presidency
Dr Ian Goldman	Deputy Director General/Team Leader, Monitoring and Learning Facility, PSPPD	Department of Performance Monitoring and Evaluation in the Presidency, and Programme for Support to Pro-Poor Policy Development (PSPPD)
Ms MastoeraSadan	Programme Manager, PSPPD	Programme for Support to Pro-Poor Policy Development (PSPPD) and National Planning Commission in the Presidency
Stanley Ntakumba	Director: Capacity Development	Department of Performance Monitoring and Evaluation in the Presidency
Mr JabuMathe	Director Programme Evaluation	Office of the Public Service Commission
DrHersheelaNarsee	Director: Research and Evaluation	Department of Basic Education
Mr Thabani Buthelezi	Director: Research and Evaluation	Department of Social Development
Ms Nebo Legoabe	Deputy Chief Executive Officer	Government Communications and Information System (GCIS)

**Annex 3: List of people met**

<b>Name</b>	<b>Job title</b>	<b>Organisation</b>	<b>Telephone</b>	<b>E-mail address</b>
MphakamaNyanweniMbetse	Ambassador	SA Embassy		<a href="mailto:MbetseM@dirco.gov.za">MbetseM@dirco.gov.za</a>
SiyabongaHadebe	First Secretary Administrative	SA Embassy, Mexico City	+52 1 555452 0108	<a href="mailto:hadebes@foreign.gov.za">hadebes@foreign.gov.za</a>
Sofia Frech Lopez Barro	Coordinator Cabinet and Special Projects,	Office of the Presidency		<a href="mailto:sofiafrech@presidencia.gob.mx">sofiafrech@presidencia.gob.mx</a>
Rolando Rodriguez Barceló	Director General of Planning and Strategic Agenda,	Office of the Presidency		<a href="mailto:rolando.rodriguez@presidencia.gob.mx">rolando.rodriguez@presidencia.gob.mx</a>
Edna Lilian Parra	Subdirector of Strategic Agenda	Presidency		
Benjamin Hill	Director General Performance Evaluation.	MoF (SHCP),		<a href="mailto:benjamín_hill@hacienda.gob.mx">benjamín_hill@hacienda.gob.mx</a>
Agustin Caso Raphael	Agustin Caso, Unit of Evaluation	MoF (SHCP),		<a href="mailto:agustin_caso@hacienda.gob.mx">agustin_caso@hacienda.gob.mx</a>
Pablo Emilio Ballesteros		SHCP		<a href="mailto:Emilio_ballesteros@hacienda.gob.mx">Emilio_ballesteros@hacienda.gob.mx</a>
Mr. Gerardo Franco Parrillat	Director General for Evaluation.	SEDESOL (Social Development Department)		<a href="mailto:gerardo.franco@sedesol.gob.mx">gerardo.franco@sedesol.gob.mx</a>
AdanSilverio Murillo	Director General Adjunto de Evaluaciones de Impacto,	SEDESOL	5328 5000 EXT 52603	<a href="mailto:adan.silverio@sedesol.gob.mx">adan.silverio@sedesol.gob.mx</a>
Andres HijuelosLoperena	Direccion de AsuntosInternacionales,	Oportunidades		<a href="mailto:andres.hijuelos@oportunidades.gobmx">andres.hijuelos@oportunidades.gobmx</a>
Rogelio Omar GradosZamudio	Direccion de Enlace para la EvaluacionExterna,	Oportunidades		<a href="mailto:Rogelio.grados@oportunidades.gob.mx">Rogelio.grados@oportunidades.gob.mx</a>
Mr. Gonzalo Hernandez	Director General and Executive Secretary	CONEVAL		<a href="mailto:ghernandezl@coneval.gob.mx">ghernandezl@coneval.gob.mx</a>
Agustin Escobar,	Board Member	CONEVAL		
Thania de la Garza Navarrete	General Adjunct Director Evaluation.	CONEVAL		<a href="mailto:tgarza@coneval.gob.mx">tgarza@coneval.gob.mx</a>
Elvia Ríos Anaya	Director of Evaluation	Department of Planning and Finance		<a href="mailto:erios@queretaro.gob.mx">erios@queretaro.gob.mx</a>
Lic Carlos Goni Carmona	Director de Evaluacion y Analysis del ProcesoEducativo	Secretaria de EducacionPublica (SEP)		<a href="mailto:cgoni@sep.gob.mx">cgoni@sep.gob.mx</a>
IngRoberty Pen Resendiz	Director de Programas y EstudiosEspeciales	Secretaria de EducacionPublica (SEP)		<a href="mailto:rpena@sep.gob.mx">rpena@sep.gob.mx</a>
Lic Martin ChucPerreira,	Secretary General	Department of Congress of		<a href="mailto:mchucpereira@hotmail.com">mchucpereira@hotmail.com</a>

Name	Job title	Organisation	Telephone	E-mail address
		the State of Yucatan		
Mr. Jesus Antonio Paz Pineda.	Director of Planning	Ministry of Planning and Budget. Yucatán,		<a href="mailto:antonio.pazp@yucatan.gob.mx">antonio.pazp@yucatan.gob.mx</a>
Jesus Jordan Perez Marfil,	Treasurer,	State Congress of Yucatan,		<a href="mailto:jjordanpm@hotmail.com">jjordanpm@hotmail.com</a>
Lic Julio Alfonso Ortega Espadas	Head of Statistics, Ministry of Planning and Budget, Yucatan,	State of Yucatan		<a href="mailto:Julio.ortegon@yucatan.gob.mx">Julio.ortegon@yucatan.gob.mx</a>
Omar Chan Gomez		State Audit of Yucatan		
<b>Colombia</b>				
Ambassador Bheki Gila	Ambassador	SA Embassy in Colombia and Venezuela		<a href="mailto:gilaB@dirco.gov.za">gilaB@dirco.gov.za</a>
Ambassador Fred Erik Jacobsen-Leyva	SA Honorary Consul in Colombia	DIRCO	571 2141544	<a href="mailto:frejale@gmail.com">frejale@gmail.com</a>
Omar Salaverria	Liaison Officer,	SA Embassy in Colombia and Venezuela		<a href="mailto:salaverriao@dirco.gov.za">salaverriao@dirco.gov.za</a> , <a href="mailto:salaverriao@yahoo.com">salaverriao@yahoo.com</a> ,
Dr. Hernando José Gómez	General Director (equiv to Minister)	Department of National Planning.		
Diego Dorado	Director, Public Policy Evaluation Directorate in NDP, Technical Secretary, SINERGIA	Department of National Planning		<a href="mailto:ddorado@dnp.gov.co">ddorado@dnp.gov.co</a>
Julio Abril	Monitoring of National development Plan, Public Policy Evaluation Directorate in DNP	Department of National Planning		<a href="mailto:jabril@dnp.gov.co">jabril@dnp.gov.co</a>
Mauricio Aguilar	Head of Evaluations, Public Policy Evaluation Directorate in DNP	Department of National Planning		<a href="mailto:waguilar@dnp.gov.co">waguilar@dnp.gov.co</a>
Carlos Cordoba	Subnational M&E, Public Policy Evaluation Directorate in DNP	Department of National Planning		
Gustavo Quintero	Research, Public Policy Evaluation Directorate in DNP	Department of National Planning		
Vladimir Olarte	Intern, Public Policy Evaluation Directorate in DNP	Department of National Planning		
Sandra Jeannette Perdomo Medina	International relations, Public Policy Evaluation Directorate in DNP	Department of National Planning		<a href="mailto:sperdomo@dnp.gov.co">sperdomo@dnp.gov.co</a>
Fernando Jiménez	General Director, National	Ministry of Finance		

Name	Job title	Organisation	Telephone	E-mail address
	Directorate for Public Budget			
Anna Maria ?	National Directorate for Public Budget	Ministry of Finance		
David Santamaria	Head, Office of Social Planning (represents Mr. Diego Molano, Director)	National Department for Acción Social, Presidency		
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**Annex 4: Summary of evaluation**

Issues / questions	Av.	%

**The feedback included:**

- Blah blahblah.
- Blah blahblah.
- Blah blahblah.

**Annex 5: Selected documents consulted**

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